



# New Accountant Registration Form for NAB accounts and deposits (via Intermediaries)

Completed form needs to be returned to your NAB representative.

## Section A Business Details

Name of Business

Industry body membership (e.g. CPA, IPA CA of Aust & NZ etc)

Business Address

  
 State  Postcode

Postal Address (if different from above)

  
 State  Postcode

Is the business organised or incorporated in the US?  No  Yes

Is the business a financial institution?  No  Yes

Is the business a resident of any country other than Australia for tax purposes?  No  Yes

If yes to any of the above questions, please complete the Overseas Tax Residency Self Certification Declaration Form available on [nab.com.au/overseastax](http://nab.com.au/overseastax). Your application will not be accepted until this form is collected.

In the preceding calendar year, did the business:

a) earn 50% or more of its gross income from investment sources<sup>1</sup>; AND

b) hold 50% or more of its assets<sup>2</sup> to produce investment income?  No  Yes

<sup>1</sup> Investment sources include dividends, rental income, interest, distributions, royalties and annuities

<sup>2</sup> Investment assets include shares, property and bonds

**Accountant Details** (This person will be your Security Officer+ User on NAB Connect if you choose to apply for NAB Connect)

Full Name

Date of Birth

 /  / 

NAB customer number (if existing customer)

NAB Identification Number (NIN) if existing customer

Residential Address

  
 State  Postcode

Email Address

Title or role within the business (e.g. partner, accountant, office manager)

Mobile

Telephone

Are you a resident of any country other than Australia for tax purposes (note: US tax residents include US citizens)?  No  Yes

If yes, the relevant applicants must complete the Overseas Tax Residency Self Certification Declaration Form available on [nab.com.au/overseastax](http://nab.com.au/overseastax). The on boarding process will not be completed until this form is collected.

Accountant Signature

Date

 /  /

## AFSL Details (if applicable)

Australian Financial Services License (AFSL) Authorised Representative of

ABN

AFSL Number

AFSL holder Business Address

<input type="text"/>	
State	Postcode

AFSL Email Address

## Section B Acknowledgements

I have attached the following documents:

- 100 point ID original certified copy (if not an existing NAB customer)
- Authorised Representative Certificate (if applicable)

**Note:** Before you can start referring NAB accounts and deposits (via Intermediaries) to your clients, you will need to ensure you or your AFSL has a Distribution Agreement in place with us. You can speak to one of our Sales Support Specialists on 1800 277 611 for further information on our Distribution Agreement.

## Section C NAB Connect

NAB Connect is the Business customer equivalent of NAB Internet Banking. It is a secure online portal allowing access to your clients' NAB account balances & transaction information. Your clients (the account holder) can authorise you and your users to have view only &/or transaction authority if required. To find out more about NAB Connect visit <https://www.nab.com.au/business/online-banking/nab-connect> or call the NAB Cash & Investment Services team on 1800 036 171.

Do you wish to apply for NAB Connect?  Yes  No (go to section D)

**Security:** The below security features reduce the risk of internal and external fraud in connection with NAB Connect.

We strongly recommend that you take advantage of these security features when/if you decide to add additional users to your NAB Connect profile:

- **Segregation of Duties** - ensures a user who creates a payment cannot then authorise that same payment.
- **Authorisation Rules** - requires more than one person to authorise payments.

Your Security Officer† User (nominated in Section A) plays a very important role in Your NAB Connect service and will have the power to:

- **Create, modify, delete or suspend the access profiles of General and Authorising Users\*;**
- **Modify preferred account names;**
- **Reset General User passwords and request Mobile Tokens;**
- **Assign Account access to Users\***
- **Assign Services to first-party Accounts\*;**
- **Set Responsibility for Managing and Approving Breaches of Payment Limits (Authorising Users)\*;**
- **Access User activity audit reports;**
- **Access enhanced User Permission Report;**
- **Reset Security Device PINS†, enable Segregation of Duties+ and decrease Your Transaction Signing Threshold+;**

\* Dual administration available. Where enabled, this means that a second Security Officer† User is required to approve changes.

† This function is completed over the phone via contacting the support centre rather than completing online

If you wish to discuss these security features, please contact our NAB Connect Customer Service Centre on 1300 888 413

### Security Device

NAB Connect requires a Security Device to log in and authorise payments. Would you like to assign a new or existing Security Device to the Security Officer+ User (nominated in Section A)?

Existing Device      Please enter existing device serial number

or

New Device      Type of Security Device:       Physical Token      or       Mobile Token - Please provide Mobile Number

(Note: Mobile Tokens can only be provisioned on IOS (versions 7+) and Android (versions 4.04+) smartphones)

## Receiving communications from NAB electronically

NAB Connect is an online only channel and you agree that NAB will send you important information (including changes to disclosure documents and terms and conditions for a Service) from NAB Connect or, at our election, by email instead of being sent in paper form (e.g. mail or fax). When important information is available to be viewed, you will receive a notice upon logging in to NAB Connect.

You should check NAB Connect Secure Messages regularly for changes and updates about NAB Connect. Failure to do so may mean important information about NAB Connect is missed.

Email address for electronic notices

## Section D Submission of Client investment account application forms

Please ensure a signed and completed application form for the relevant NAB account or deposit (via Intermediaries) is scanned and emailed to NAB. Where the investment application form is delivered to NAB in electronic format, NAB is authorised to establish the investment account in the Client's name according to the details provided in the completed application form. NAB is entitled to rely on the application form delivered electronically which is sent by you or which purports to have been sent by you. NAB is not responsible for any loss, damage or liability suffered by you or your Client in connection with NAB acting on any emailed application which is submitted by you, or any error contained in the investment account application form, any delays in transmission or non-receipt by NAB of the electronic application form.

## Applicant Declaration and Execution

**Note:** If You are a company, this Registration Form must be signed by either two directors or a director and secretary unless you are a single director and shareholder company in which case it must be signed by that single director.

If you are a partnership or association, this Registration Form must be signed in accordance with your partnership deed or association constitution.

You authorise the Accountant in Section A to manage your NAB Connect Profile and to authorise other NAB Connect User/s as set out in Section C.

Each person who is signing this form below agrees that:

A. They have been provided with:

- The NAB Connect Terms and Conditions (<http://www.nab.com.au/business/forms-and-documents/nab-connect-terms-conditions>); and
- The Fees and Charges Schedule (the Schedule) (<http://www.nab.com.au/business/interest-rates-fees-and-charges>) and has had the opportunity to view, save and/or print these. By signing the form below and using NAB Connect for the first time through any authorised person you provide your agreement to both the Terms and the Fees and Charges Schedule. Please keep a copy of these important documents for future reference.
- You acknowledge that any use of the NAB Connect Channel and the Services to access or attempt to access accounts is also subject to the terms and conditions which apply to those accounts.

B. NAB will not charge for "view only" access to your clients NAB accounts and deposits (via Intermediaries) but if you decide to make further use of the NAB Connect functionality, you may incur fees. See the Schedule for details.

C. Where Personal Information (as defined in the Privacy Act 1988 (Cth)) about your Security Officer+ User (nominated in Section A) has been provided in this Registration Form or information about an individual (such as a User or contact person or nominated authority) will be provided as a result of the ongoing use of NAB Connect, you will or will ensure that your Security Officer+ User (nominated in Section A) will make each such individual aware:

- that their Personal Information has been collected by NAB for the purpose of providing NAB Connect to the Accountant, to manage and administer NAB Connect, and to protect against fraud;
- that their Personal Information may be disclosed to other organisations involved in the provision, management or administration of NAB Connect, or as required by law, or with their consent;
- that the individual's information might be shared with overseas organisations and the individual may visit [www.nab.com.au/privacy/overseas-countries-list](http://www.nab.com.au/privacy/overseas-countries-list) to find out more about countries where their information might be sent;
- that the Accountant may not be able to use NAB Connect, if that individual's Personal Information is not provided;
- that NAB will handle the individual's personal information in the way set out in NAB's Privacy Notification (<http://www.nab.com.au/privacynotification>) and Privacy Policy (<http://www.nab.com.au/privacy>) and that they can request a copy by contacting NAB on 13 22 65; and
- that the individual can gain access to and seek correction of their personal information, or make a complaint about how it is handled, by contacting NAB on the number above.

D. NAB will assume that any person who is granted access to NAB Connect as part of your access, whether nominated by you or your Security Officer+ User (nominated in Section A) is authorised to use NAB Connect on your behalf.

E. Each signatory for the Applicant below acknowledges and declares that they have the necessary authority to bind the Applicant.

By signing this Registration Form, You acknowledge and accept that:

(a) failing to activate Segregation of Duties; and/or

(b) establishing Your NAB Connect facility with only a single authoriser, exposes you and your clients' to a higher level of internal and external fraud risk than activating Segregation of Duties and nominating authorisation rules that require multiple authorisations.

F. They undertake to advise NAB within 30 days of any change in circumstances that affects my tax residency status and to provide NAB with an updated self-certification within 30 days of such change in circumstances.

Name	Name
<input type="text"/>	<input type="text"/>
Job Title	Job Title
<input type="text"/>	<input type="text"/>
Signature	Signature
<input type="text" value="X"/>	<input type="text" value="X"/>
Date	Date
<input type="text" value="/ /"/>	<input type="text" value="/ /"/>

Please return completed forms to your NAB representative.