

# axi

AXICORP FINANCIAL SERVICES PTY LTD

ACN 127 606 348 AFSL 318232

WHOLESALE STATUS REQUEST FORMS

## ELIGIBILITY REQUIREMENTS

Wealth Test (Wholesale Client)	Sophisticated Investor Test (Sophisticated Investor)
<p>You must satisfy at least one of the following two conditions:</p> <p><input type="checkbox"/> You have net assets of at least \$A2.5 million;</p> <p style="text-align: center;"><b>OR</b></p> <p><input type="checkbox"/> You have a gross income for each of the last 2 financial years of at least \$A250,000.</p>	<p>You must satisfy at least two of the following three conditions:</p> <p><input type="checkbox"/> <b>Trading experience</b> Over the last 2 years, you have opened at least 20 CFD/FX Margin trades per quarter with greater than A\$500,000 notional value in each quarter. Only open positions are counted.</p> <p><input type="checkbox"/> <b>Work experience</b> You have at least two years' experience as a financial sector professional in a role that required experience of trading CFD/FX Margin.</p> <p><input type="checkbox"/> <b>Portfolio value</b> You have an investment portfolio of assets and cash deposits which exceed A\$500,000.</p>
<p><b>Forms required to be submitted to be considered for Wholesale Status eligibility</b> Please email the completed form together with <u>all required supporting evidence</u> to our Client Services team (<a href="mailto:service@axi.com">service@axi.com</a>).</p>	
<p><input type="checkbox"/> <b>Accountant's Certificate</b></p> <p>To request to be treated as a Wholesale Client, you will need to arrange and submit an <i>Accountant's Certificate</i> (see pages 3 and 4).</p>	<p><input type="checkbox"/> <b>Request Form</b></p> <p>To request to be treated as a Sophisticated Investor, you will need to complete a <i>Request for Sophisticated Investor Status form</i> (see pages 5 and 6).</p>

CERTIFICATE BY A QUALIFIED ACCOUNTANT – WHOLESALE CLIENT (PAGE 1 of 2)

To: AxiCorp Financial Services Pty Ltd  
Level 10, 90 Arthur Street,  
SYDNEY NSW 2060

By applying to be recognised as a Wholesale Client, I confirm and declare that:

- I acknowledge and accept that I will lose the retail protections which are available under Chapter 7 of the Corporations Act 2001 (Cth) (“Corporations Act”) including but not limited to: being issued with a Product Disclosure Statement and a Financial Services Guide;
- I understand the implications of being classified as a Wholesale Client;
- I have the experience necessary to make investment decisions without the benefit of disclosure documents issued to retail investors in accordance with the Corporations Act;
- An Accountant’s Certificate is valid for a period of up to two (2) years from the date of the Accountant’s Certificate and acknowledge that it is my responsibility to provide AxiCorp Financial Services Pty Ltd (“Axi”) a new Accountant’s Certificate prior to expiry. If I fail to provide a new certificate prior to the expiry date, Axi will be required to treat me as a Retail Client from expiry date until such time that I provide a new and valid Accountant’s Certificate. This may carry significant financial implications due to the differing leverage limits imposed on Retail Clients versus Wholesale Clients;
- I will not be acquiring financial products with Axi in connection with a business;
- I acknowledge that if I have previously received an Axi Product Disclosure Statement required to be given to Retail Clients then I will only be covered by that document if it relates to a position I hold which was entered into before my reclassification as a Wholesale Client. After my reclassification as a Wholesale Client I will not be covered by the terms of any new Axi Product Disclosure Statement required to be given to Retail Clients; and
- I acknowledge that Axi’s external dispute resolution service, the Australian Financial Complaints Authority, has discretion to exclude complaints from wholesale clients.

Signature

x

Name (Print Name)

Date

## CERTIFICATE BY A QUALIFIED ACCOUNTANT – WHOLESALE CLIENT (PAGE 2 of 2)

Issued under Chapter 7 (section 761G(7)(c)) of the Corporations Act 2001 (Cth) (“Corporations Act”)

(A separate form is required for each entity or individual)

To: AxiCorp Financial Services Pty Ltd  
Level 10, 90 Arthur Street,  
SYDNEY NSW 2060

I certify that:

Full Legal Name of Person or Entity	ABN/ACN/ARBN (if any)

of address:

STATE		POSTCODE	

[tick relevant box(s) below]

- has net assets of at least \$A2.5 million;
- has a gross income for each of the last 2 financial years of at least \$A250,000.

**Controlled Companies and/or Trusts (where applicable)**

I confirm that the abovenamed person or entity controls<sup>1</sup> the following companies and/or trusts:

Full Legal Name of Company/Trust	ABN/ACN/ARBN (if any)

<sup>1</sup> “Control” has the meaning given to it in section 50AA of the Corporations Act

**Professional Membership**

I confirm that:

- I am a member of one or more of the following professional bodies (tick all relevant boxes):

Professional body	Membership classification	Membership Number
<input type="checkbox"/> Chartered Accounts Australia and New Zealand	<input type="checkbox"/> CA <input type="checkbox"/> ACA <input type="checkbox"/> FCA	
<input type="checkbox"/> CPA Australia	<input type="checkbox"/> CPA <input type="checkbox"/> FCPA	
<input type="checkbox"/> Institute of Public Accountants	<input type="checkbox"/> AIPA <input type="checkbox"/> MIPA <input type="checkbox"/> FIPA	

- I comply with the relevant professional body's continuing professional education requirements.
- I confirm that I am independent of the abovenamed person and/or entities.

Accountant Signature

Name of Firm

x

Accountant Name (Print Name)

Business Address

Date

STATE		POSTCODE	
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## REQUEST FOR SOPHISTICATED INVESTOR STATUS (PAGE 1 of 2)

To: AxiCorp Financial Services Pty Ltd  
Level 10, 90 Arthur Street,  
SYDNEY NSW 2060

By applying to be recognised as a Sophisticated Investor, I confirm and declare that:

- I acknowledge and accept that I will lose the retail protections which are available under Chapter 7 of the Corporations Act 2001 (Cth) ("Corporations Act") including but not limited to: being issued with a Product Disclosure Statement and a Financial Services Guide;
- I understand the implications of being classified as a Sophisticated Investor;
- I have the experience necessary to make investment decisions without the benefit of disclosure documents issued to Retail Clients in accordance with the Corporations Act;
- I will not be acquiring financial products with AxiCorp Financial Services Pty Ltd ("Axi") in connection with a business;
- I acknowledge that if I have previously received an Axi Product Disclosure Statement required to be given to Retail Clients then I will only be covered by that document if it relates to a position I hold which was entered into before my reclassification as a Sophisticated Investor. After my reclassification as a Sophisticated Investor I will not be covered by the terms of any new Axi Product Disclosure Statement required to be given to Retail Clients; and
- I acknowledge that Axi's external dispute resolution service, the Australian Financial Complaints Authority, has discretion to exclude complaints from Sophisticated Investors.

Signature

x

Name (Print Name)

Date

## REQUEST FOR SOPHISTICATED INVESTOR STATUS (PAGE 2 of 2)

Issued under Chapter 7 (section 761GA(d)) of the Corporations Act 2001 (Cth) ("Corporations Act")

To: AxiCorp Financial Services Pty Ltd  
 Level 10, 90 Arthur Street,  
 SYDNEY NSW 2060

If you currently hold an account with Axi, please provide your Axi account number in the box provided:

I confirm that I satisfy at least two of the following three required conditions to be considered as being a Sophisticated Investor [tick relevant box(s) below], and that I have enclosed evidence to demonstrate this:

Condition	Description	Evidence enclosed
<input type="checkbox"/> Trading experience	I have conducted and can evidence that I have traded at least 20 FX or CFD trades per quarter with a notional value over A\$500,000 within the last two years. Only open positions are counted toward the count and notional exposure <sup>1</sup> .	<input type="checkbox"/>
<input type="checkbox"/> Work experience	I work or have worked for at least two years as a financial sector professional in a role that requires knowledge of the transactions or services to be provided by Axi and can demonstrate this by completing the below table <sup>2</sup> .	<input type="checkbox"/>
<input type="checkbox"/> Portfolio value	The size of my investment portfolio assets and cash deposits exceeds \$A500,000 <sup>3</sup> .	<input type="checkbox"/>

Evidence includes but is not limited to:

<sup>1</sup> statements or trading history in related products with other CFD providers.

<sup>2</sup> statement of service from your current or previous employer stating your role and period of service.

<sup>3</sup> bank statements or account statements held with other brokers or financial institutions.

Question	Response	
What company did you gain this experience with?		
What was your role within the company?		
What was your period of service?	From:	To:
How did that role provide you with relevant experience?		

In considering your application to be classified as a Sophisticated Investor, Axi may request and or consider additional information relating to your trading and experience.

I hereby request Axi treat me as a Sophisticated Investor regarding my trading account(s) with them and I have sufficient and appropriate expertise and knowledge in the type of investments and transactions which may be carried out pursuant to the Client Agreement to be categorised as a Sophisticated Investor under section 761GA(d) of the Corporations Act 2001.

I will notify Axi of any changes in my circumstances that could affect my categorisation.

I acknowledge that despite being categorised as a Sophisticated Investor my money will still be segregated by Axi and will continue to come under the client money rules.

Signature

x

Name (Print Name)

Date