



AXICORP FINANCIAL SERVICES PTY LTD

AUSTRALIA - ACN 127 606 348 AFSL 318232

NEW ZEALAND – NZBN 9429042567608 DIL FSP 518226

WHOLESALE STATUS REQUEST FORMS

ELIGIBILITY REQUIREMENTS

| Income/Wealth Test (Wholesale Client) | Sophisticated Investor Test | Professional Investor Test |
|---|---|---|
| <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;">OR</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 one of the following conditions and complete and pass a Sophisticated Investor Exam:</p> <p><input type="checkbox"/> Trading experience You have opened at least 20 Trades per quarter for any 4 quarters in the last 3 years with a minimum of \$500,000 notional value in each of those 4 quarters.</p> <p><input type="checkbox"/> Work experience You have at least one years' experience as a financial sector professional in a role that requires knowledge of the transactions or services to be provided by Axi.</p> | <p>You must satisfy at least one of the requirements as specified under section 9 of the Corporations Act, including but not limited to:</p> <p><input type="checkbox"/> You are an Australian Financial Service Licensee;</p> <p><input type="checkbox"/> You control at least \$10 million in gross assets;</p> <p><input type="checkbox"/> You are a listed entity or related body corporate of a listed entity;</p> <p><input type="checkbox"/> You are a foreign entity, that if established or incorporated in Australia, would be covered by one of the requirements; or</p> <p><input type="checkbox"/> You meet one of the other section 9 requirements.</p> |
| <p>Forms required to be submitted to be considered for Wholesale Status eligibility Please email the completed form together with <u>all required supporting evidence</u> to our Client Services team (service@axi.com).</p> | | |
| <p><input type="checkbox"/> Accountant's Certificate</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"/> Request Form</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> <p>AND</p> <p><input type="checkbox"/> Exam</p> <p>Complete and pass the Sophisticated Investor Exam (available on request from your Account Manager).</p> <p>This option only applies to individual account holders.</p> | <p><input type="checkbox"/> Request Form</p> <p>To request to be treated as a Professional Investor, you will need to complete a <i>Request for Professional Investor Status form</i> (see pages 7 and 8).</p> |

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

To: AxiCorp Financial Services Pty Ltd
Level 13, 73 Miller Street,
NORTH 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 acknowledge and accept that I will lose the negative balance protection that is afforded to retail clients under the ASIC Corporations (Product Intervention Order – Contracts for Difference) Instrument 2020/986;
- I acknowledge that despite being categorised as a Wholesale Client, my money will still be segregated by Axi;
- 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;
- I acknowledge that Axi's external dispute resolution service, the Australian Financial Complaints Authority, has discretion to exclude complaints from Wholesale Clients; and
- I acknowledge and accept the terms under the [Axi Non-Retail Client Agreement](#).

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 13, 73 Miller Street,
NORTH 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 controls¹ the following companies and/or trusts:

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

¹ "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 |
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Accountant Name (Print Name)

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Business Address

| | | | |
|-------|--|----------|--|
| | | | |
| | | | |
| STATE | | POSTCODE | |

Date

| |
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REQUEST FOR SOPHISTICATED INVESTOR STATUS (PAGE 1 of 2)

To: AxiCorp Financial Services Pty Ltd
Level 13, 70 Miller Street,
NORTH 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 acknowledge and accept that I will lose the negative balance protection that is afforded to retail clients under the ASIC Corporations (Product Intervention Order – Contracts for Difference) Instrument 2020/986;
- 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;
- I acknowledge that Axi's external dispute resolution service, the Australian Financial Complaints Authority, has discretion to exclude complaints from Sophisticated Investors; and
- I acknowledge and accept the terms under the [Axi Non-Retail Client Agreement](#).

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 13, 73 Miller Street,
NORTH 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 one of the following required conditions and completed and passed the Sophisticated Investor Exam 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 opened at least 20 Trades per quarter for any 4 quarters in the last 3 years with a minimum of \$500,000 notional value in each of those 4 quarters. Only open positions are counted toward the count and notional exposure ¹ . | <input type="checkbox"/> |
| <input type="checkbox"/> Work experience | I work or have worked for at least one year 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 ² . | <input type="checkbox"/> |

Evidence includes but is not limited to:

¹ statements or trading history in related products with other CFD providers.

² statement of service from your current or previous employer stating your role and period of service.

| 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

REQUEST FOR PROFESSIONAL INVESTOR STATUS (PAGE 1 of 2)

To: AxiCorp Financial Services Pty Ltd
Level 13, 73 Miller Street,
NORTH SYDNEY NSW 2060

By applying to be recognised as a Professional 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 acknowledge and accept that I will lose the negative balance protection that is afforded to retail clients under the ASIC Corporations (Product Intervention Order – Contracts for Difference) Instrument 2020/986;
- I acknowledge that despite being categorised as a Professional Investor, my money will still be segregated by Axi;
- I understand the implications of being classified as a Professional 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 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 Professional Investor. After my reclassification as a Professional Investor, I will not be covered by the terms of any new Axi Product Disclosure Statement required to be given to Retail Clients;
- I acknowledge that Axi's external dispute resolution service, the Australian Financial Complaints Authority, has discretion to exclude complaints from Professional Investors;
- I will notify Axi of any changes in my circumstances that could affect my categorisation; and
- I acknowledge and accept the terms under the [Axi Non-Retail Client Agreement](#).

Signature

x

Name (Print Name)

Date

REQUEST FOR PROFESSIONAL INVESTOR STATUS (PAGE 2 of 2)

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

To: AxiCorp Financial Services Pty Ltd
Level 13, 73 Miller Street,
NORTH SYDNEY NSW 2060

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

I, hereby declare that I am a Professional Investor, as defined in section 9 of the Corporations Act, for the reason(s) selected below:

| Reason | Evidence Required |
|--|---|
| <input type="checkbox"/> I am an Australian Financial Services Licensee | A copy of the Licensee page from ASIC's website. |
| <input type="checkbox"/> I am a body regulated by the Australian Prudential Regulation Authority ("APRA"), other than a trustee of any of the following (within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth)): (i) A superannuation fund; (ii) An approved deposit fund; (iii) A pooled superannuation trust; or (iv) A public sector superannuation scheme. | A copy of the approval from APRA's website. |
| <input type="checkbox"/> I am a body registered under the Financial Corporations Act 1974 (Cth). | A copy of the approval from APRA's website. |
| <input type="checkbox"/> I am a trustee of: (i) A superannuation fund; (ii) An approved deposit fund; (iii) A pooled superannuation trust; or (iv) A public sector superannuation scheme. Within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth) and the fund, trust or scheme has net assets of at least \$10 million. | A copy of most recent Statement of Financial Position. |
| <input type="checkbox"/> I have or control gross assets of at least \$10 million (including any assets held by an associate or under a trust that I manage). | A copy of most recent Statement of Financial Position. |
| <input type="checkbox"/> I am a listed entity or a related body corporate of a listed entity. | A copy of a print out from the ASX website. For a related body corporate, a copy of an ASIC search to demonstrate the shareholding of the listed entity. |
| <input type="checkbox"/> I am an exempt public authority. | Please contact Axi for required evidence. |
| <input type="checkbox"/> I am a body corporate, or an unincorporated body, that: (i) Carries on business of investment in financial products, interests in land or other investments; AND (ii) For those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public, within the meaning of section 82 of the Corporations Act, the terms of which provided for the funds subscribed to be invested for those purposes. | A copy of the Product Disclosure Statement. |
| <input type="checkbox"/> I am a foreign entity that, if established or incorporated in Australia, would be covered by one of the preceding requirements. | A copy of evidence issued by a foreign government body that is equivalent to one of the above. |