



AxiCorp Financial Services Pty Ltd
**Professional Investor
Status Forms**

AUSTRALIA - ACN 127 606 348 AFSL 318232
NEW ZEALAND - NZBN 9429042567608 DIL FSP 518226

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>You have net assets of at least \$A2.5 million;</p> <p style="text-align: center;">OR</p> <p>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>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>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>You are an Australian Financial Service Licensee;</p> <p>You control at least \$10 million in gross assets;</p> <p>You are a listed entity or related body corporate of a listed entity;</p> <p>You are a foreign entity, that if established or incorporated in Australia, would be covered by one of the requirements; or</p> <p>You meet one of the other section 9 requirements.</p>

Forms required to be submitted to be considered for Wholesale Status eligibility

Please email the completed form together with [all required supporting evidence](#) to our [Client Services](#) team (service@axi.com).

<p>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>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>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>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>
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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

SIGN HERE	
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Name (Print Name)

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Date

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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
I am an Australian Financial Services Licensee	A copy of the Licensee page from ASIC’s website.
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.
I am a body registered under the Financial Corporations Act 1974 (Cth).	A copy of the approval from APRA’s website.
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.
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.
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.
I am an exempt public authority.	Please contact Axi for required evidence.
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.
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.