



AxiCorp Financial Services Pty Ltd

Sophisticated Investor Questionnaire

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> |
|---|--|--|

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

**SIGN
HERE**

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 |
|--------------------|---|-------------------|
| 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 . | |
| 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 . | |

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: <input type="text"/> To: <input type="text"/> |
| 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

| | |
|----------------------|--|
| SIGN HERE | |
|----------------------|--|

Name (Print Name)

Date

In order to be classified as a non-retail investor, AxiCorp Financial Services Pty Ltd (“Axi”) must be satisfied on reasonable grounds that you have sufficient experience in using financial services and investing in financial products (investments) so that you are able to assess:

1. The merits of a financial product or service;
2. The value of a financial product or service;
3. The risks associated with holding the financial product;
4. Your own information needs; and
5. The adequacy of information given by Axi and the product issuer to you.

In order for Axi to be satisfied of these factors, it is necessary that you answer the questions below. You must answer the questions yourself, because Axi needs to be satisfied that you have the relevant experience.

Name:

Date: (mm/dd/yyyy)

Email:

Qualifications:

A. Knowledge Assessment

| TABLE 1 | |
|----------------|---------|
| USD/SGD FX CFD | |
| Bid | Offer |
| 1.37000 | 1.37015 |

- 1.) What is the name for the difference between the bid and the offer?
 - a. Difference
 - b. Spread
 - c. Volatility
 - d. Gap

- 2.) In Table 1, how many SGD would a person get if selling USD 10,000?
 - a. USD 13,700
 - b. SGD 13,715
 - c. USD 13,700
 - d. SGD 13,700

- 3.) In Table 1, how many pips is the spread?
 - a. 1.5
 - b. 37015
 - c. 37000
 - d. 1.37

- 4.) If you have an open position in margin financial products, the amount of money you can lose is:
 - a. Limited to the margin you paid
 - b. Limited to the market value of the underlying product
 - c. Limited to the funds in your account
 - d. Unlimited

5.) On day 1, you buy one FX CFD contract on USD/SGD at 1.38000. The value of one contract is USD 10,000. The margin requirement is 5%. How much margin do you pay?

- a. USD 5,000
- b. SGD 500
- c. SGD 690
- d. USD 690

6.) On day 7, USD/SGD is trading at 1.53000. What is your position?

- a. Profit SGD 1,500
- b. Loss SGD 1,500
- c. Profit USD 1,500
- d. Loss USD 1,500

7.) It is important to place a stop loss on a trade because:

- a. It can limit your loss
- b. It can increase your gain
- c. It guarantees you will make lots of money
- d. None of the above

8.) What best describes going “long” (buy position)?

- a. You make money if the price moves either up or down
- b. If the price decreases in value, your position makes a profit
- c. If the price increases in value, your position makes a profit
- d. None of the above

9.) What is the best way to monitor and manage your trades?

- a. Monitoring your open trades once a month on the trading platform
- b. Actively monitoring your open trades on the trading platform
- c. Closing all your open trades every time you leave the trading platform

10.) You have a 100,000 GBP/USD position currently trading at 1.3147 and the prices move from GBP/USD 1.3147 to 1.3162. If you hold a long position:

- a. It will be a profit of \$150
- b. It will be a loss of \$150
- c. It will be a profit of \$250
- d. It will be a loss of \$250