

## Wholesale Client Questionnaire

The financial information and representations in this questionnaire are required to be provided to Advanced Markets Ltd. for the undersigned to qualify as an "Wholesale Client" as defined by Chapter 7 of Corporations Act 2001 in order to purchase or sell certain derivatives, on a principal to principal basis with Advanced Markets Ltd. The client must read, qualify under, and initial at least one of the sections below.

Advanced Markets LTD. holds AFSL number 444649.

The financial product to which Advanced Markets LTD.'s services relate is not:

- a. A general insurance product;
- b. A superannuation product; or
- c. A retirement savings account product.

The undersigned prospective client represents and warrants for purposes of entering into certain derivatives transactions with Advanced Markets Ltd. that the prospective client is and shall be acting for its own account and shall at all times qualify, notwithstanding any subsequent determination to the contrary, as an "Wholesale Client" as defined by Section 761G and 761GA of the Corporations Act 2001 because the prospective client:

(Please Check and Initial any and all that apply. Please note, that all monetary figures are given in AUD)

<input type="checkbox"/>	<b>Price or value test</b> - the price or value of the product/service exceeds \$500,000 (based on market face value). If qualifying under this criteria, then the initial deposit into your account with Advanced Markets Ltd. will need to be \$500,000 or greater.)
<input type="checkbox"/>	<b>Size of Business Test</b> - the financial product or service <b><i>is provided for use in connection with a business</i></b> that is <b><i>not</i></b> a small business. Small business means a business employing:  (a) less than 20 people; or  (b) if the business is or includes the manufacture of goods then less than 100 employees.  <i>If qualifying under this criteria, you will need to submit written confirmation by a Director where the client is a Corporation (or the Trustee where the client is a Trust) that proposed services and products are for use in connection with the business and that the business is not a small business (as defined above).</i>



**Professional Investor Test** – is an entity where one or more of the following apply: the entity

- (a) is a [financial services licensee](#);
- (b) is a [body regulated by APRA](#), other than a trustee of any of the following (within the meaning of the [Superannuation Industry \(Supervision\) Act 1993](#)):
  - (i) a superannuation fund;
  - (ii) an approved deposit fund;
  - (iii) a pooled superannuation trust;
  - (iv) a public sector superannuation scheme;
- (c) is a [body registered](#) under the [Financial Corporations Act 1974](#);
- (d) is the trustee of:
  - (i) a superannuation fund; or
  - (ii) an approved deposit fund; or
  - (iii) a pooled superannuation trust; or
  - (iv) a public sector superannuation scheme;within the meaning of the [Superannuation Industry \(Supervision\) Act 1993](#) and the fund, trust or scheme has net [assets](#) of at least \$10million;
- (e) [controls](#) at least \$10 million (including any [amount](#) held by an [associate](#) or under a trust that the [person](#) manages);
- (f) is a [listed entity](#), or a [related body corporate](#) of a [listed entity](#);
- (g) is an [exempt public authority](#);
- (h) is a [body corporate](#), or an unincorporated [body](#), that:
  - (i) carries on a 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](#), the terms of which [provided](#) for the funds subscribed to be invested for those purposes;
- (i) is a foreign [entity](#) that, if established or [incorporated in Australia](#), would be covered by one of the preceding paragraphs.

*If qualifying under this criteria, you will need to provide proof and or confirmation regarding the type of professional investor status that applies to your account. Please refer to Appendix C. Advanced Markets, Ltd. may ask for additional information to confirm as it* The undersigned prospective client represents that the information contained herein is complete and accurate and may be relied upon by Advanced Markets Ltd. and their respective principals, associates and affiliates in determining the prospective client's qualification as an Wholesale Client as defined by Chapter 7 Corporations Act 2001; and that the prospective client will notify Advanced Markets Ltd. immediately of any material change in any such information occurring prior to entering into any foreign currency transaction through or with such entities.

The undersigned prospective client represents that the information contained herein is complete and accurate and may be relied upon by Advanced Markets Ltd. and their respective principals, associates and affiliates in determining the prospective client's qualification as an Wholesale Client as defined by Chapter 7 Corporations Act 2001; and that the prospective client will notify Advanced Markets Ltd. immediately of any material change in any such information occurring prior to entering into any foreign currency transaction through or with such entities.

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Signature of Prospective Client

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Signature of Joint Account Holder  
(if applicable)

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Name of Client (please print)

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Name of Joint Account holder (please print)

## Appendix C

### PROFESSIONAL INVESTOR DECLARATION (Chapter 7 of the Corporations Act)

Name:	
Address:	
Occupation	

Declare and undertake that:

I am a Professional Investor as defined in section 9 of the Corporations Act as follows:

<input type="checkbox"/>	I am a Australian Financial Service Licensee Number _____
<input type="checkbox"/>	<p>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)):</p> <ul style="list-style-type: none"><li>(i) A superannuation fund;</li><li>(ii) An approved deposit fund;</li><li>(iii) A pooled superannuation trust; or</li><li>(iv) A public sector superannuation scheme.</li></ul> <p><i>Please provide evidence of registration under the Act with APRA / a copy of the approval from APRA website</i></p>
<input type="checkbox"/>	<p>I am a body registered under the Financial Corporations Act 1974 (Cth).</p> <p><i>Please provide evidence of registration under the Act with APRA / a copy of the approval from APRA website</i></p>
<input type="checkbox"/>	<p>I am a trustee of:</p> <ul style="list-style-type: none"><li>(i) A superannuation fund;</li><li>(ii) An approved deposit fund;</li><li>(iii) A pooled superannuation trust; or</li><li>(iv) A public sector superannuation scheme,</li></ul> <p>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.</p>

	<i>Please provide a copy of a relevant up-to-date Statement of Financial Position.</i>
<input type="checkbox"/>	<p>I control at least \$10 million (including any amount held by an associate or under a trust that I manage).</p> <p><i>Please provide a copy of a relevant up-to-date Statement of Financial Position for the entity or entities that make up \$10 million.</i></p>
<input type="checkbox"/>	<p>I am a listed entity or a Related Body Corporate of a listed entity.</p> <p><i>Please provide a copy of security information from the ASX website. In respect of a Related Body Corporate please provide a shareholder listing.</i></p>
<input type="checkbox"/>	<p>I am an exempt public authority.</p> <p><i>Please provide evidence of exemption.</i></p>
<input type="checkbox"/>	<p>I am a body corporate, or an unincorporated body, that:</p> <p>(i) Carries on business of investment in financial products, interests in land or other investments;</p> <p>AND</p> <p>(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.</p> <p><i>Please provide a copy of the fundraising Product Disclosure Statement.</i></p>
<input type="checkbox"/>	<p>I am a foreign entity that, if established or incorporated in Australia, would be covered by one of the preceding requirements.</p> <p><i>Please provide relevant evidence</i></p>

I will immediately notify Advanced Markets Ltd. if I cease to meet the investor criteria outlined above.

Notwithstanding this declaration, I understand that Advanced Markets may request further information to sufficiently satisfy itself of the above declaration and will make its determination in respect of the applicability of the provisions of the Corporations Act at its absolute discretion.

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Signature of Prospective Client

\_\_\_\_\_  
Signature of Joint Account Holder  
if applicable

\_\_\_\_\_  
Name of Client

\_\_\_\_\_  
Name of Joint Account Holder

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Signature of Director

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Name of Director

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Signature of Director/Secretary

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Name of Director/Secretary