Interactive Brokers Australia Pty Ltd | AFSL 453554 | ABN 98 166 929 568
Version date: July 2026

INTERACTIVE BROKERS AUSTRALIA
WHOLESALE CLIENT / SOPHISTICATED INVESTOR APPLICATION

INSTRUCTIONS

- This form may be used for:
  - individual account applications – the named account holder should complete this application;
  - joint account applications – each account holder should complete a separate application and declaration;
  - trustee account applications – the named account holder should complete this application
  - companies or corporate trustee account applications – the director who controls the Applicant company should complete this application
- If handwriting responses, please complete the form in legible CAPITALS in black ink.
- Please mark boxes with a (X).
- You / your qualified accountant may email completed forms and attachments to newaccounts@interactivebrokers.com or (if applicable) send to the new accounts team member who contacted you, or return physical copies to:

  By Mail:
  New Accounts Department
  Interactive Brokers Australia Pty Ltd
  PO Box R229
  Royal Exchange, NSW 1225
  Australia

  By Courier:
  New Accounts Department
  Interactive Brokers Australia Pty Ltd
  Level 11, 175 Pitt Street
  Sydney, NSW
  2000 Australia

SECTION 1: INDIVIDUAL'S DETAILS

First name: _____

Middle name (if applicable): _____

Last name: _____

Applicable Interactive Brokers Australia Account Number(s): _____

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SECTION 2: REQUEST AND AGREEMENT

I, being the Individual identified in Section 1, hereby request Interactive Brokers Australia Pty Ltd to recognise:

Select applicable option

a) Me as the Account holder, as a Wholesale Client under Section 761G(7) Corporations Act 2001 and, where applicable, as a Sophisticated Investor under Section 708(8)(c), on the basis of the attached certificate from a Qualified Accountant attached to this application (please see section 3 for form of accountant certificate); ☐

OR

b) Me as the Account holder, as a Wholesale Client under Section 761G(7) and, where applicable, as a Sophisticated Investor under Section 708(8)(c), seeking to utilise IBA's outsourced accountant arrangement to complete the attached certificate from a Qualified Accountant attached to this application (please see section 3 for form of accountant certificate and section 4 for consent regarding the provisioning of these services); ☐

OR

c) Me, acting as the Account holder in my capacity as a Trustee of a Trust which I control[1], as a Wholesale Client under Section 761G(7) and, where applicable, as a Sophisticated Investor under Section 708(8)(c), on the basis of the attached certificate from a Qualified Accountant attached to this application (please see section 3 for form of accountant certificate); ☐

OR

d) The Account holder as Wholesale Client under Section 761G(7) and, where applicable, as a Sophisticated Investor under Section 708(8)(c), on the basis that I control[2] the Account holder and I am a Wholesale Client and, where applicable, a Sophisticated Investor as evidenced by the certification from a Qualified Accountant attached to this application (please see section 3 for form of accountant certificate); ☐

AND

- Undertake to notify Interactive Brokers Australia Pty Ltd should I cease to meet the applicable Wholesale Client or Sophisticated Investor criteria;

[1] Corporations Regulations 2001 Reg 7.6.02AB / 7.6.02AC
[2] Corporations Regulations 2001 Reg 7.6.02AD

- Acknowledge and accept the loss of retail client and disclosure protections including:
  - that Interactive Brokers Australia is not obliged, but may elect, to provide: its Financial Services Guide, any Product Disclosure Statements or Risk Disclosure Statements which may be required, Dollar Disclosures, or any disclosure document that may otherwise be required for an offer of securities; and
  - the right to appeal to External Dispute Resolution; and
  - Agrees that I understand and accept the legal and financial implications of being treated as a Wholesale Client and, where applicable, a Sophisticated Investor; and
- Acknowledge that any certificate procured from a Qualified Accountant is valid only for a period of two (2) years from the date of issue for the purposes of Sections 761G(7) and 708(8)(c), and undertake to procure and deliver to Interactive Brokers Australia Pty Ltd a renewed certificate before the applicable validity period expires or otherwise before IBA requires an updated certificate.

Signature of person making this application and giving this declaration:

Signature: _____

Date: _____

If signing as a Controller of the Applicant company, please indicate capacity:

Please select

Sole Director ☐

Director ☐

Other (please specify) ☐

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SECTION 3: FORM OF ACCOUNTANT CERTIFICATE

CERTIFICATE UNDER SECTION 761G(7) AND SECTION 708(8)(c) OF THE CORPORATIONS ACT 2001 (CTH)

- Please complete the form in legible CAPITALS in black or blue ink.
- Please mark boxes with a (X).
- Capitalised terms have meanings as set out in the Corporations Act 2001

The name of the individual about whom this certification is being given (the "Applicant"): _____

Applicable IBA Account Number: _____

I certify that:

1) I am one of the following:

Select applicable option

a) A member of CPA Australia who is entitled to use the post-nominals 'CPA' or FCPA' and is subject to and complies with the CPA Australia's continuing professional development requirements; or ☐
OR

b) A member of the Institute of Chartered Accountants in Australia who is entitled to use the post-nominals 'ACA', 'CA" or 'FCA', and is subject to and complies with the Institute of Chartered Accountants' continuing professional education requirements; ☐
OR

c) A member of the Institute of Public Accountants who is entitled to use the post-nominals 'AIPA', 'MIPA' or 'FIPA' and is subject to the and complies with the Institute of Public Accountants' continuing professional education requirements; ☐
OR

d) A member of an Eligible Foreign Professional Body:[3] ☐

i. Have at least three (3) years of practical experience in accounting or auditing; and

ii. Am providing this certificate for the purposes of Sections 761G(7)(c) and 708(8)(c) of the Corporations Act 2001 to the Applicant who is a resident in the same country (other than Australia) as myself.

[3] Eligible Professional Body as defined in ASIC Class Order [CO 01/1256].

2) In accordance with the requirements of Sections 761G(7)(c) and 708(8)(c) of the Corporations Act 2001, the Applicant has (either or both if applicable):

a) Net assets of at least, or equivalent to, AUD $2.5 million; ☐
AND/OR

b) Gross income for each of the last two (2) financial years of at least, or at least equivalent to, AUD $250,000 per year. ☐

I acknowledge that this certificate is valid for two (2) years from its date of issue for the purposes of Sections 761G(7) and 708(8)(c).

Select applicable option

Signature of the Qualified Account giving this certification and acknowledgement:

Signature: _____

Date: _____

First name: _____

Last name: _____

Professional Accreditation Number: _____

Business address of Qualified Accountant:

Street Name and Number: _____

City / Suburb: _____

State: _____

Postcode: _____

SECTION 4: FORM OF ACCOUNTANT CERTIFICATE

Please complete if you have selected Section 2 - Option 1(b).

I, as the Account holder, attest to the following which constitutes an agreement with IBA:

a) I understand that IBA is disclosing it has a relationship with a third-party accountant, Grow SMSF Pty Ltd (ABN 58 643 070 302) ("Grow SMSF"), whereby both parties have an agreement which outlines the terms under which Grow SMSF will provide Wholesale Client and Sophisticated Investor Certificate services to IBA clients for the purposes of qualifying under objective wholesale client and sophisticated investor criteria in Sections 761G(7)(c) and 708(8)(c) of the Corporations Act 2001;

b) I meet the relevant Wholesale Client and/or Sophisticated Investor test in accordance with the requirements of Sections 761G(7)(c) and 708(8)(c) of the Corporations Act 2001;

c) The information I have provided is true, complete, unaltered and not misleading by omission;

d) I understand the consequences of making false and misleading statements;

e) I instruct IBA to and provide consent for IBA to provide my Wholesale Client / Sophisticated Investor Application form together with any supporting documents to its outsourced Accountant (Grow SMSF) for the purposes of its wholesale client and sophisticated investor certification process. Grow SMSF has its own privacy policy which is outlined on its website: https://growsmsf.com.au.

f) I understand that Grow SMSF will review and provide me and IBA a signed Accountant Certificate should I satisfy the objective wholesale client and/or sophisticated investor criteria;

g) I agree that IBA may pass through a charge to me for the review and, if applicable, the certification of wholesale client and/or sophisticated investor status of AUD $110 regardless of the outcome (i.e. if I qualify or not);

h) I agree that this fee (AUD $110) will be charged irrespective of whether Grow SMSF rejects or approves the wholesale client and/or sophisticated investor application (including if I fail to provide sufficient information).

First name: _____

Middle name (if applicable): _____

Last name: _____

Applicable Interactive Brokers Australia Account Number(s): _____

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