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

INTERACTIVE BROKERS AUSTRALIA
PROFESSIONAL INVESTOR APPLICATION

INSTRUCTIONS

- This form may be used for:
  - Individuals – 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 – a director should sign this application
- If handwriting responses, please complete the form in legible CAPITALS in black ink.
- Please mark boxes with a (X).

  You may upload completed forms and attachments in your application 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. APPLICANT DETAILS

For applicants who are individuals please provide your name:

First name: _____

Middle Name (*if applicable*): _____

Last Name: _____

For applicants who are companies please provide the name of the company and ACN/ABN:

Name of Company: _____

ACN/ABN: _____

For all applicants, please provide the Account number:

Interactive Brokers Australia Account Number(s): _____

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SECTION 2. REQUEST AND AGREEMENT

I. I hereby apply to be recognised by Interactive Brokers Australia Pty Ltd as a professional investor for the purposes of 761G(7)(d) and/or as a professional investor for the purposes of section 708(11) of the Corporations Act 2001 (Cth), ("Professional Investor") and

(a) Undertakes to notify Interactive Brokers Australia Pty Ltd immediately should any of the details contained within this Application and Declaration cease to be true and accurate; and

(b) Acknowledges and accepts the loss of retail client protection provisions including:

- that Interactive Brokers Australia is not obliged to provide: its Financial Services Guide, any Product Disclosure Statements or Risk Disclosure Statements which may be required, Dollar Disclosures, and
- the right to appeal to External Dispute Resolution; and

(c) Is satisfied I understand and accept(s) the legal and financial implications of being recognised as a Professional Investor; and

(d) Agrees to provide any and all further information an officer of Interactive Brokers Australia may request to satisfy itself as to the matters herein; and

II. The Applicant hereby represents and warrants that they are a Professional Investor (Wholesale Client) because:

(a) The Applicant is, or is a Related Body Corporate[1] of, an Australian financial services licensee;[2] ☐

AFSL NO. _____

OR

(b) The Applicant is, or is a Related Body Corporate of, a body regulated by Australian Prudential Regulatory Authority other than as trustee of referred to in (c) below; ☐

OR

(c) The Applicant is a trustee of a superannuation fund, an ☐

[1] Related Body Corporate has the meaning given to that term in Section 50 of the Corporations Act 2001.
[2] A Financial Services Licensee means a person who holds an Australian Financial Services License as used in Part 7 of the Corporations Act 2001.

approved deposit fund, a pooled superannuation trust or public section superannuation scheme within the meaning of the Superannuation Industry (Supervision) Act 1993 AND such fund or trust scheme has at least AUD $10 million net assets;

OR

(d) The Applicant is a person who has or Controls[3] gross assets of at least AUD $10 million (or foreign currency equivalent); ☐

OR

(e) The Applicant is a listed entity or Related Body Corporate of a listed entity; ☐

OR

(f) The Applicant is a foreign entity that, if established or incorporated in Australia, would be covered by (a) – (e) above. ☐

III. Provision of support documentation:

(a) I have included documentary evidence which supports representation give in II above. For example: ☐

- A copy or extract of audited accounts showing controlled entities; or
- A copy of extract of audited accounts showing assets; or
- A copy or extract of tax return.

IV. Execution

Any person(s) who sign(s) this application on behalf of a party, represent that they have all authority to make this application and give the declarations herein, and if acting under a power of attorney or delegated authority, declares that they are not aware of any fact or circumstance that might impair their authority to do so under that power of attorney or delegated authority.

Signature of (Individual/Trustee/Company Officer)(s) making this application and giving this declaration:

Signature _____ Date _____

[3] In determining the gross assets of a person, you may include any assets held by an Associate or under a trust, in each case only to the extent that the person manages such assets.

If a Company Officer, specify provide your name and capacity:

First name

Last name

Sole Director ☐ Director ☐ Secretary ☐

Other

Signature of other Company Officer (s) making this application and giving this declaration

Signature Date

If a Company Officer, specify provide your name and capacity:

First name

Last name

Sole Director ☐ Secretary ☐

Other

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SECTION 3. DECLARATION OF CONTROLLER

I, hereby represent and warrant that for the purposes of Section 2. II (d) above, the entities which I control, or trusts which I manage or are my Associates used for the purposes of meeting the criteria are as follows:

(List entities here, include names, company numbers and place of domicile as applicable. For further entities please print and attach further copies)

1.
2.
3.
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