

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 40 Grosvenor Place
225 George Street, Sydney, NSW 2000
Australia

SECTION 1. APPLICANT DETAILS

For applicants who are individuals please provide you 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): _____

SECTION 2. REQUEST AND AGREEMENT

- I. I hereby apply to be recognised by Interactive Brokers Australia Pty Ltd as a Professional Investor (Wholesale Client) 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 Corporate¹ of, a Australian financial services licensee;² or
- AFSL NUMBER
- (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 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 \$10 million Australian dollars net assets; or
- (d) The Applicant is a person who has or Controls³ gross assets of at least \$10 million Australian dollars (or foreign currency equivalent); or
- *See section 3
- (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;
 - A copy of extract of audited accounts showing assets;
 - 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:

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

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*

³ In determining the gross assets of a person, include any assets held by an Associate or under a trust that the person managers.

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

Director Secretary

Other:

**** The remainder of this page is left blank on purpose ****

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)

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