

INSTITUTIONAL WHOLESALE CLIENT DECLARATION form

Declaration

I/We represent and warrant to CMC Markets Stockbroking Limited that I/we am/are one of the following as indicated
(please tick appropriate box below):

- ☐ A person who holds an Australian Financial Services Licence.
- ☐ A body registered under the Financial Corporations Act 1974.
- ☐ A body regulated by the Australian Prudential Regulation Authority, other than a trustee of a fund or trust who falls into the class of persons described in the next paragraph.
- ☐ A trustee of a regulated superannuation fund, an approved deposit fund, a pooled superannuation trust, or a public sector superannuation scheme within the mean of the Superannuation Industry (Supervision) Act 1993.
NB The fund, trust or scheme must have net assets of at least \$10 million to qualify as an excluded party under this paragraph.
- ☐ A person who has or controls gross assets of at least \$10 million (including any assets held by an associate or under a trust that the person manages).
- ☐ A listed entity or a related body corporate of a listed entity.
- ☐ A body corporate or unincorporated body that:
- (1) carries on a business of investment in financial products, interests in land or other investments; and
 - (2) for those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public.

Please attach the relevant documentation to evidence the Institutional Client category or categories selected.

If application is by an individual

Executed by:

Signature

X

Name(s) (printed) _____

Date: _____ / _____ / 20_____

If application is by a company

Executed by: (please select one)

☐ Director ☐ Authorised Party ☐ Company Secretary

Signature

X

Name(s) (printed) _____

Date: _____ / _____ / 20_____

Please email your completed and signed form to stockbroking.forms@cmcmarkets.com