



PROFESSIONAL ACCOUNT APPLICATION FORM (Non-individual Account)

The form is used by AETOS existing non-individual clients who apply with AETOS to opt-in the classification of **Wholesale Client**¹ in order to make use of an AETOS Professional Account. Please ensure you read this form carefully as the declaration you provide will be used to inform whether AETOS considers you eligible to change your retail account to a Professional Account.

*Required fields

AETOS Account Details			
*Account Primary Holder Name		*AETOS Account No.	
*AETOS Account Registered Email		*Mobile No.	
*Residential Address			

Please checking out the box that suits your situation.

- You are in control of the company or trust that related to this AETOS trading account;
- The company related to AETOS trading account has net assets of at least A\$ 2.5 million;
- The company related to AETOS trading account has a gross income for each of the last two financial years of at least A\$ 250,000;
- The entity is a holder of an Australian Financial Services License;
- The entity related to this AETOS trading account is registered under the Financial Corporations Act 1974;
- The entity related to this AETOS trading account is regulated by the Australian Prudential Regulation Authority, other than a trustee of a superannuation product.
- The entity related to this AETOS trading account is a trustee of a superannuation product with at least \$10 million in assets;



- The entity related to this AETOS trading account is involved in a business have or control gross assets of at least AUD \$10 million (including any amount held by an associate or on trust);
- The entity related to this AETOS trading account is a listed entity or a related body corporate of a listed entity
- The entity related to this AETOS trading account is a related body of a body corporate that is a wholesale client;
- The entity related to this AETOS trading account runs a business with no less than 20 employees (or, if the business is or includes manufacture of goods, no less than 100 employees).

You acknowledge that you must provide such evidence of the above status as requested by AETOS.

Acknowledgement and Agreement

By signing this form, I:

1. Confirm that the information I have provided is true and accurate.
2. Understand that legal and financial implications of being classified as a **Wholesale Client** by AETOS.
3. Agree to provide AETOS with proof and additional supporting evidence for AETOS to review and access my application.
4. Understand that when AETOS treats me as a **Wholesale Client**, AETOS will assume me have the necessary level of financial literacy, knowledge and experience to understand the risk involved in dealing with derivatives trading and be capable to protect my own interests.
5. Am aware and understand that as a **Wholesale Client**, I will be giving up certain protections that are afforded to Retail Clients,² including under the Corporations Act, including:
 - ASIC's product intervention measures for CFDs, including (among other thing) negative balance protection and leverage restriction.
 - Trading with AETOS without being able to rely on or receiving disclosure documents such as Product Disclosure Statement (PDS) or Financial Services Guide (FSG).
 - Potentially not being able to access the relevant external dispute resolution body, the Australian Financial Complaints Authority (AFCA).
6. Understand that where I am classified as a Wholesales Client under the **Individual Wealth Test** or **Professional Investor Test**, my trading funds held with AETOS will not be treated as "Client Money" under



the Corporations Act. That means my account will not be subject to the ASIC Client Money Rules (“Exempt Wholesale Client”) and my money will not be held as Client Money, which is segregated from AETOS money and held at a pooled trust account.

7. Understand that where I am classified as a Wholesale Client under the **Sophisticated Investor test**, in accordance with section 761GA of the Corporations Act, my money will continue to be treated as “Client Money” and be subject to the ASIC Client Money Rules under the Corporations Act.
8. Agree to keep AETOS informed about any change that could affect my client categorization by contacting AETOS at compliance@aetoscg.com.
9. Understand that I may request to receive a different categorization at any time.
10. Understand that AETOS may withdraw my status as a Wholesale Client and treat me as a Retail Client at its absolute discretion.

Account Holder Signature

Date of Declaration (DD/MM/YY)

¹ Wholesale Client, clients that qualify as and agree to being treated as wholesale clients pursuant to the Corporations Act 2001 (Cth).

² Retail client has the meaning given to it in the section 761G of the Corporations Act 2001 (Cth).



ANNEX

RISK STATEMENT RELATING TO AETOS PROFESSIONAL ACCOUNT

AETOS Capital Group Pty Ltd is required by the Corporations Act 2001 to classify our clients as **Retail clients** or **Wholesales clients**. By default, we categorise all our clients as Retail clients unless you satisfy one of wholesale clients tests set out in Corporations Act and lodge the application to AETOS in order to make use of AETOS Professional Account. Clients may request to receive a difference classification and opt out of Professional Account at any time, either generally or in respect of specific circumstances.

The statement is prepared to give you an explanation of the differences in classification and the protection afforded to Retail Clients Account (AETOS Standard Account and AETOS Premium account) and AETOS Professional Account. Where you are an AETOS Professional Account holder, you have passed the assessment and been treated as a Wholesale Client by AETOS. AETOS will assume you have the necessary level of financial literacy, knowledge and experience to understand the risk involved in dealing with derivatives trading and be capable to protect your own interests. Once AETOS categorized you as a Wholesale Client, you will be giving up certain protections that afforded to Retail Clients, such protections include:

- ASIC's product intervention measures for CFDs, including (among other things) negative balance protection and leverage restriction (commencing on 29 March 2021).
- You will not receive a general advice warning, or disclosure documents including Financial Service Guide (FSG) and Product Disclosure Statement (PDS).
- Your money will be handled differently from Retail Clients:
 - a. If you are classified as a **Wholesale client** under **Individual Wealth Test** or **Professional Investor Test**, your trading funds held with AETOS will not be treated as "Client Money" under Corporations Act and will not be subject to the ASIC Client Money Rules ("Exempt Wholesale Client"). As such, your trading funds will not be held as Client Money, which is segregated from AETOS money and held in a pooled trust account.
 - b. If you are classified as a **Wholesale client** under the **Sophisticated Investor Test** your trading funds held with AETOS will continue to be treated as "Client Money" and be subject to the ASIC Client Money Rules under the Corporations Act. As such, your trading funds will continue to be held as Client Money, which is segregated from AETOS money and held in a pooled trust account.
- The applicable Future of Financial Advice (FoFa) requirements relating to conflicted remuneration do not apply to Wholesale clients.
- AETOS is a member of Australia Financial Complaints Authority (AFCA) and AFCA rules permit AFCA has discretion to exclude complaints from wholesale clients.