



Wholesale Clients Test

(Non-Sophisticated Investor)

A client will be eligible to be classified as a Wholesale Client if one of the following tests could be satisfied:

A. Individual Wealth/Assets Test

The client has or controls a company or trust that has:

- Net assets of at least \$2.5 million AUD; or
- Gross annual income of \$250,000 AUD for each of the last two financial years

In order to be classified as a Wholesale Client under this Individual Wealth/Assets test, the client cannot use AETOS products in connection with a business.

B. Professional Investor Test

The client is:

- An Australian financial services licensee;
- A body regulated by the Australian Prudential Regulation Authority (“APRA”), other than a trustee of a superannuation product;
- A trustee of a superannuation product with at least \$10 million in assets;
- A listed entity, or a related body corporate of a listed entity;
- The client has or controls at least \$10 million in gross assets (including any amount held by an associate or on trust);
- The client is a foreign entity that, if established or incorporated in Australia, would be covered by the preceding paragraphs.

C. Related Body Corporate

Pursuant to section 761G(7)(4A) of the Corporations Act [as inserted by regulation 7.6.02AD] a related body corporate of a body corporate that is a Wholesale Client can be treated as a Wholesale Client.

D. Large Business Test

The entity related to AETOS trading account has no less than 20 employees or no less than 100 employees if the business is or includes the manufacture of goods.



Sophisticated Investor Test

A client will be eligible to be classified as a Wholesale Client under section 761GA of the Corporations Act in situation that AETOS is satisfied on reasonable grounds that the client has previous experience in using financial services and investing in financial products that allows the client to assess:

- the merits of the product or service;
- the value of the product or service;
- the risks associated with holding the product;
- client's own information needs; and
- the adequacy of the information given by the licensee and the product issuer.

As such, the prospective sophisticated investors with AETOS should have met one of the following two requirements:

A. Trading experience

- 1) Has a minimum of \$ 100,000 annual gross income or \$500,000 investment portfolio; and
- 2) Has a minimum of 15 trades per quarter in any 4 quarters over the last three years; and
- 2) In each of the 4 quarters, has a minimum quarterly trading volume (closed trades) of at least \$500K.

Or

B. Relevant working experience

Have worked in the finance industry for at least one year in a position which requires knowledge of and/or is exposed to leveraged derivatives trading.

Above criteria is only applicable to individual traders only. If the applicant is a legal person, in order to be classified as a Wholesale Client under the Sophisticated Investor Test, the client cannot use AETOS products and services in connection with a business.



The client will be provided with a written statement setting out the reasons AETOS considers that the client satisfies the above criteria. The client must then provide their acknowledgement to AETOS before we categorized the clients as a wholesale client.

Important note

Trading margin FX and CFDs carries a high level of risk and may not be suitable for all investors. You are strongly recommended to seek independent financial advice before making any investment decisions.

AETOS clients are categorised as retail clients by default unless you satisfy wholesale clients criteria. Retail clients could sustain a total loss of deposited funds but are not subject to subsequent payment obligations beyond the deposited funds but wholesale clients could sustain losses more than your initial investment.

Where a client is categorized a wholesale client, the client will forego certain regulation protections afforded to retail clients including 1). account negative balance protection and leverage restriction under ASIC PIO; 2). may not be eligible to access the dispute resolution service provided by AFCA; 3). trading with AETOS without receiving disclosure statement; 4). may be opted out from the ASIC client money rules.

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