



Wholesale Form

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Please complete, sign and date this form to enable us to ascertain whether you are eligible to be treated as a Wholesale Investor. If you select Option B, your accountant will also be required to complete the Accountants Certificate Attached.

Investor Details

Investor Name: _____

Title: _____ First Name: _____ Surname: _____

Address: _____ State: _____ Post Code: _____

Telephone: _____ Fax: _____

Email: _____

Companies Only: Names/Account Details of Related Bodies Corporate: _____

I am a Fusion customer (Select One): Yes No

If Yes, provide account number &/or broker name: _____

I Wish To Be Treated As A Wholesale Investor On The Following Basis:

(Please select from Option A, B,C or D)

- A. Professional Investor** – If Checked, Please check one of the following two boxes (A.1 or A.2)
- A.1** I have or control gross assets of at least \$10 million (including cash and other assets, and including any amount held by an associate or under a trust that I manage). Note: Proof of assets required.
- A.2** I hold an Australian Financial Services Licence Number: _____
- B. Sophisticated Investor** – If Checked, you MUST check BOTH B.1 and B.2
- B.1** I attach the completed Accountants Certificate; and
- B.2** I acknowledge that the certificate will be valid for a period of 24 months from its date, and I authorise Fusion to contact the accountant named in the certificate to renew the certificate when required and I agree that my accountant's fees for providing or renewing this certificate shall be to my account.
- C. Other Category Of Professional Investor** – You may qualify for treatment as a wholesale "investor" under a different category than above. For a full list of the eligible categories see below under "What Is A Professional Investor?" If you think you qualify as a Wholesale Investor under one of these other categories please provide details below and one of our representatives will contact you.
- Details: _____
- D. I Do Not Fall Into Any Of The Above Categories** – If you are neither a Professional, Sophisticated or do not fall into one of the other categories listed in "What Is A Professional Investor" that could qualify you as a Wholesale Investor, you probably do not qualify as a Wholesale investor, and therefore may be restricted from investing in certain products. Please check this box one of our representatives will contact you.

Investor's Acknowledgements

In applying to register as a Wholesale Investor I acknowledge that:

- I have not received financial planning, insurance, specific investment advice or a recommendation that takes into account my overall circumstances, needs and objectives, nor whether the investment is appropriate;
- By not receiving advice, I risk making a financial commitment to a Financial Product that may not be appropriate to my particular needs, financial situation and objectives;
- Fusion will not be responsible for any loss resulting from the adverse performance of the Financial Product(s), any expenses and/or loss of benefits incurred through replacing an existing Financial Product(s), or the Financial Product(s) providing to be not appropriate to my needs, objectives and financial situation.
- Fusion may provide client identification details to providers of Financial Products that I invest in order for Fusion and those entities to meet their obligations under the Anti-Money Laundering/Counter Terrorism Financing Act of 2007.

If Investor Is An Individual

Signature of Witness

Signature of Investor

Name of Witness

Name of Investor

Date

Date

If Investor Is A Company

Signature of Director

Signature of Director

Name of Director

Name of Director

Date

Date

Accountant's Certificate

To Be Completed By Accountant if Option B is Selected

Accountant Details

Firm Name: _____ Position: _____

Professional Body: _____ Ref. Number: _____

Title: _____ First Name: _____ Surname: _____

Address: _____ State: _____ Post Code: _____

Telephone: _____ Fax: _____

Email: _____

Investor Details

Investor Name: _____

Address: _____ State: _____ Post Code: _____

Telephone: _____ Fax: _____

Email: _____

I Certify That

1. The person or entity whose details are set out above (Investor):

- Has net assets of at least \$2.5 million¹; or
- Has a gross income for each of the last two financial years of at least \$250,000²

2. I comply with my professional body's continuing professional educational requirements.

3. This certificate is issued under chapter (select one): 6D 7 of the Corporations Act 2001

4. If I have selected section 7 above, I confirm that the product or service is not used in connection with a business

Name of Accountant

Signature of Accountant

Date of Certificate

1. In determining the net assets of a person, the net assets of a company or trust "controlled" by the person (as defined in Section 50AA of the Corporations Act) may be included.

2. In determining the gross income of a person the gross income of a company or trust "controlled" by the person (as defined in Section 50AA of the Corporations Act) may be included.

What Is A Professional Investor?

- A body regulated by APRA, other than a trustee of any of the following:
 1. A superannuation fund;
 2. An approved deposit fund;
 3. A pooled superannuation trust;
 4. A public sector superannuation scheme.
- A body registered under the Financial Corporations Act 1974.
- The trustee of:
 1. A superannuation fund; or
 2. An approved deposit fund; or
 3. A pooled superannuation trust; or
 4. A public sector superannuation scheme.(Within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth) and the fund, trust or scheme has net assets of at least \$10 million.)
- A person or entity that has or controls gross assets of at least \$10 million (including any amount held by an associate or under a trust that the person manages).
- A listed entity, or a related body corporate of a listed entity.
- An exempt public authority.
- A body corporate, or an unincorporated body, that:
 1. Carries on a business of investment in financial products, interests in land and other investments; and
 2. For those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public,(Within the meaning of section 82 of the Corporations Act 2001 (Cth), the terms of which provided for the funds subscribed to be invested for those purposes.)
- A foreign entity that, if established or incorporated in Australia, would be covered by one of the preceding paragraphs.