

What is a Professional Investor?

- A financial services licensee.
- A body regulated by APRA, other than a trustee of any of the following:
 - (i) a superannuation fund;
 - (ii) an approved deposit fund;
 - (iii) a pooled superannuation trust;
 - (iv) a public sector superannuation scheme.
- A body registered under the Financial Corporations Act 1974.
- The trustee of:
 - (i) a superannuation fund; or
 - (ii) an approved deposit fund; or
 - (iii) a pooled superannuation trust; or
 - (iv) a public sector superannuation scheme. within the meaning of the Superannuation Industry (Supervision) Act 1993 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:
 - (i) carries on a business of investment in financial products, interests in land or other investments; and
 - (ii) 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, 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.

Wholesale Investor Registration

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.

Name

Street address or PO Box

_____|_____|_____
Suburb/town State Postcode

_____|_____|_____
Telephone-(h) Telephone-(w) Facsimile

_____|_____
Mobile E-mail Address

(Companies Only)/ Names/ Account Details of Related Bodies Corporate

Please tick one of two boxes

I have control of gross assets of \$10 million including cash and other assets including any amount held by an associate or under a trust I manage.

Provide Details:

I hold an Australian Financial Services License.

Provide details including AFSL No: (attach full copy of License)

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;
- First Charter Capital Pty Ltd 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) proving to be not appropriate to my needs, objectives and financial situation.
- First Charter Capital Pty Ltd may provide client identification details to providers of Financial Products that I invest in order for First Charter and those entities to meet their obligations under the Anti-Money Laundering/Counter Terrorism Financing Act of 2007.

Signature (must be completed)

Investor's Signature

_____/_____/____/_____
Date

Important information

The information we collect on this form will be used to process your application and provide services to you. This information will be disclosed to our service providers who do something on our behalf (e.g. mailing house or a data processor) and other members of the First Charter Group. If you do not provide your information to us, we may not be able to process your application. You can access the personal information we have collected, if we have retained it, by contacting us on 08 9380 2555. You can view our privacy policy at:

www.firstcharter.com.au

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