

prospero

The Prospero logo features the word "prospero" in a white, lowercase, sans-serif font. To the right of the text is a graphic element consisting of two overlapping circles. The front circle is solid yellow, and the back circle is black with horizontal yellow stripes.

WHOLESALE CLIENT QUESTIONNAIRE

Margin FX Contracts and CFDs

Issuer:
Prospero Markets Pty Ltd
ABN 11 145 048 577
Australian Financial Services Licence No. 423034



WHOLESALE CLIENT QUESTIONNAIRE

CONTRACTS FOR DIFFERENCES & MARGIN FX CONTRACTS

The financial information and representations in this questionnaire are required to be provided to Prospero Markets Pty Ltd (AFSL Number: 423034) for the undersigned to qualify as an “Wholesale Client” as defined by Chapter 7 of Corporations Act 2001 (Cth) (“**Corporations Act**”) in order to receive financial services from Prospero Markets in relation to contracts for differences (**CFDs**) and margin foreign exchange contracts (**Margin FX Contracts**) (together the “**Products**”). The prospective client must read, qualify under, and initial at least one of the sections below.

The undersigned prospective client represents and warrants for purposes of receiving financial services from Prospero Markets in relation to Products that the prospective client is and shall be acting for its own account and shall at all times qualify, notwithstanding any subsequent determination to the contrary, as an “Wholesale Client” as defined by Section 761G and Section 761GA of the Corporations Act because the prospective client:

Guidance:

- Check and Initial any and all that apply. Please note that all monetary figures are given in AUD; and
- Please note in accordance with the Corporations Act, the reference to person refers to a natural individual or legal entity.

<input type="checkbox"/>	<p>Institutional Investor Test – is an entity where one or more of the following apply:</p> <p>(a) is a <u>financial services licensee</u>;</p> <p>(b) is a <u>body regulated by APRA</u>, other than a trustee of any of the following (within the meaning of the <u>Superannuation Industry (Supervision) Act 1993</u>):</p> <ul style="list-style-type: none">(i) a superannuation fund;(ii) an approved deposit fund;(iii) a pooled superannuation trust;(iv) a public sector superannuation scheme; <p>(c) is a <u>body registered</u> under the <u>Financial Corporations Act 1974</u> ;</p> <p>(d) is the trustee of:</p>
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	<ul style="list-style-type: none"> (i) a superannuation fund; or (ii) an approved deposit fund; or (iii) a pooled superannuation trust; or (iv) a public sector superannuation scheme; <p>within the meaning of the Superannuation Industry (Supervision) Act 1993 and the fund, trust or scheme has net assets of at least \$10 million;</p> <ul style="list-style-type: none"> (e) <u>controls</u> at least \$10 million (including any <u>amount</u> held by an <u>associate</u> or under a trust that the <u>person</u> manages); (f) is a <u>listed entity</u>, or a <u>related body corporate</u> of a <u>listed entity</u>; (g) is an <u>exempt public authority</u>; (h) is a <u>body corporate</u>, or an unincorporated <u>body</u>, that: <ul style="list-style-type: none"> (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 <u>section 82</u>, the terms of which <u>provided</u> for the funds subscribed to be invested for those purposes; (i) is a foreign <u>entity</u> that, if established or <u>incorporated in Australia</u>, would be covered by one of the preceding paragraphs. <p><i>Note: If qualifying under this criterion, the prospective client will need to provide proof and or confirmation regarding the type of Institutional Investor status that applies to your account. Please refer to Appendix. Prospero Markets may ask for additional information to confirm as it deems necessary.</i></p>
<input type="checkbox"/>	<p>Wholly-owned subsidiary of an entity that is a “Institutional Investor” (as defined above).</p> <p><i>Note: If qualifying under this criterion, the prospective client will need to provide proof and or confirmation regarding the type of Institutional Investor status that applies to your account. Please refer to Appendix. Prospero Markets may ask for additional information to confirm as it deems necessary.</i></p>

The undersigned prospective client represents that the information contained herein is complete and accurate and may be relied upon by Prospero Markets and its respective principals, associates and affiliates in determining the prospective client’s qualification as an Wholesale Client as defined by Chapter 7 Corporations Act 2001; and that the prospective client will notify Prospero Markets immediately of any material change in any such information occurring prior to entering into any foreign currency transaction through or with such entities.

Signature of Prospective Client

Signature of Joint Account Holder
(if applicable)

Name of Client (Please Print)

Name of Joint Account Holder

(Please Print)

Applicable ID No.



Appendix – Institutional Investor Declarations

Name:	
Address:	
Occupation	

Declare and undertake that:

I am an Institutional Investor as defined in section 9 of the Corporations Act as follows:

<input type="checkbox"/>	I am an Australian Financial Service Licensee Number _____
<input type="checkbox"/>	<p>I am a body regulated by the Australian Prudential Regulation Authority (“APRA”), other than a trustee of any of the following (within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth)):</p> <ul style="list-style-type: none"> • A superannuation fund; • An approved deposit fund; • A pooled superannuation trust; or • A public sector superannuation scheme. <p>Please provide evidence of registration under the Act with APRA / a copy of the approval from APRA website.</p>
<input type="checkbox"/>	<p>I am a body registered under the Financial Corporations Act 1974 (Cth).</p> <p>Please provide evidence of registration under the Act with APRA / a copy of the approval from APRA website.</p>
<input type="checkbox"/>	<p>I am a trustee of:</p> <ul style="list-style-type: none"> • A superannuation fund; • An approved deposit fund; • A pooled superannuation trust; or • A public sector superannuation scheme, <p>within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth) AND the</p>

	<p>fund, trust or scheme has net assets of at least \$10 million.</p> <p>Please provide a copy of a relevant up-to-date Statement of Financial Position.</p>
<input type="checkbox"/>	<p>I control at least \$10 million (including any amount held by an associate or under a trust that I manage).</p> <p>Please provide a copy of a relevant up-to-date Statement of Financial Position for the entity or entities that make up \$10 million.</p>
<input type="checkbox"/>	<p>I am a listed entity or a Related Body Corporate of a listed entity.</p> <p>Please provide a copy of security information from the ASX website. In respect of a Related Body Corporate please provide a shareholder listing.</p>
<input type="checkbox"/>	<p>I am an exempt public authority.</p> <p>Please provide evidence of exemption.</p>
<input type="checkbox"/>	<p>I am a body corporate, or an unincorporated body, that:</p> <ul style="list-style-type: none"> • Carries on business of investment in financial products, interests in land or other investments; AND • 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, the terms of which provided for the funds subscribed to be invested for those purposes. <p>Please provide a copy of the fundraising Product Disclosure Statement.</p>
<input type="checkbox"/>	<p>I am a foreign entity that, if established or incorporated in Australia, would be covered by one of the preceding requirements.</p> <p>Please provide relevant evidence.</p>

I will immediately notify Prospero Markets if I cease to meet the investor criteria outlined above.

Notwithstanding this declaration, I understand that Prospero Markets may request further information to sufficiently satisfy itself of the above declaration and will make its determination in respect of the applicability of the provisions of the Corporations Act at its absolute discretion.

Signature of Prospective Client

Signature of Joint Account Holder
if applicable

Name of Client

Name of Joint Account Holder

Signature of Director

Signature of Director/Secretary

Name of Director

Name of Director/Secretary

