



**EXPERIENCED INVESTOR
ASSESSMENT AND ACKNOWLEDGEMENT FORM**

Email to: trading@primarymarkets.com

PrimaryMarkets Pty Ltd ABN 24 136 368 244 (**PrimaryMarkets**) requires that in order to trade securities via the PrimaryMarkets platform (www.primarymarkets.com) you need to be classified as an “*Experienced Investor*” as an alternative to be classified as a Sophisticated/Wholesale Investor (**Experienced Investor**). As such PrimaryMarkets is to be satisfied on reasonable grounds that the applicant Seller Member or Buyer Member has previous experience in using financial services and investing in financial products that allows the person to assess:

- i. The merits of the financial product or service;
- ii. The value of the financial product or service;
- iii. The risks associated with acquiring and holding the financial product;
- iv. The client's own information needs; and
- v. The adequacy of the information given by the licensee and the product issuer.

As such, PrimaryMarkets requires the following information so as to assess whether you meet the requirements of an Experienced Investor (as determined by PrimaryMarkets in its absolute discretion):

Please complete your answers in the boxes provided:

Applicant's Name	
Email Address	
Mobile/Cell Number	
Trading Entity Type (Individual, Company, Trust, Superannuation fund)	
Company/Trustee Name	
Account Designation (e.g. As Trustee of the [Name of Fund or Trust])	
Company Number (ACN, ABN) – if entity is Australian company	
Street Address (number, Street, suburb, state, country, postcode/zip)	
Postal Address (number, Street, suburb, state, country, postcode/zip) – or as above	

1. **Work Experience and Duration**

Please provide details of any relevant work experience that would demonstrate that you are an Experienced Investor.

2. **Business experience and directorships**

Please provide details of any relevant business experience and directorships (if any).

3. **Investment Experience and Duration**

Please provide details of your experience in investing and managing your investments and negotiating and transacting directly with a seller of securities or other investments e.g. *“I have been an active trader on the XX stock market for approximately xx years”, “I have also managed my Self-Managed Superannuation fund successfully for xx years”* etc.

4. **Client Risk Profile**

What is your tolerance for risk? e.g. I am prepared to accept greater risk for greater return, I have sufficient years until retirement to achieve capital growth, I am interested in participating in capital raisings and other corporate activities including where the issuer raises capital without a prospectus or product disclosure document etc.

5. **Professional Qualifications**

e.g. Level 1 CFA etc.

What information do you expect to receive before making an investment decision?

- None – I hereby confirm that I can find information myself, assess the merits of an investment and can determine the value and risks associated with an asset offered for sale. I have read and understood the risk warnings relating to investing in unlisted, off-market and/or illiquid securities and investments. I do not require any verbal recommendation, written advice, overview of the financial product prepared by your adviser or another third party and/or any product disclosure statement, Prospectus or similar document prepared by the issuer of the financial product

Privacy

To assist us in registering you as a Member and otherwise conducting our business activities we need to collect personal information about you. By providing your personal information, you agree that it will be used and disclosed by PrimaryMarkets in accordance with this statement and our Privacy Policy available at <http://www.primarymarkets.com>. If you do not agree to this Collection Statement then you must not provide your personal information and, as such, we may refuse to make you a Member and we may not be able to communicate with you or provide certain services to you.

Platform Trading Rules

Where PrimaryMarkets is satisfied that you meet the requirements of an Experienced Investor, you will be able to become a Member/Trader subject to the terms of the Platform Trading Rules, Privacy Policy and Terms and Conditions of Use.

Certain documents that are required by law to be given to retail clients will not be provided to you as a Sophisticated Investor.

Where PrimaryMarkets is satisfied that you meet the requirements of a Sophisticated/Wholesale Investor, by signing below you acknowledge that:

- i. PrimaryMarkets is not required to provide you with any Product Disclosure Statement;
- ii. PrimaryMarkets is not required to provide you with any other document that would be required to be given to you under the Australian Corporations Act if the product or services were provided to you as a “*retail client*” including but not limited to a Statement of Advice or Product Disclosure Statement;
- iii. PrimaryMarkets does not have any other obligation to you, the client, under the Corporations Act that PrimaryMarkets would be required to give to you if the product or service was provided to you as a retail client;
- iv. The information you have provided above is true and correct and that PrimaryMarkets has relied fully on this information;
- v. You warrant and agree to be classified as a Wholesale Client under of the Corporations Act;
- vi. You irrevocably indemnify PrimaryMarkets in relation to all of the matters referred to in this document; and
- vii. You agree to inform PrimaryMarkets if and when any material changes occur to the information provided above.

Signature 1 —

Name —

Dated **day of** **2021**

Signature 2 —

Name —

Dated **day of** **2021**

Note: If applicant is a corporation or a joint trustee, the second signature required is from a second Director or secretary or second individual trustee unless the company has a sole Director/secretary.