

Sophisticated Investor Form

To be completed by applicant

APPLICATION FOR SOPHISTICATED INVESTOR STATUS

Name of Investor/s or Company: _____

Email Address: _____

Phone: _____

First Prudential Markets Account Number: _____

Related Accounts: _____

1. _____

2. _____

3. _____

4. _____

To be considered for Sophisticated Investor status I confirm;

I have aggregated net assets of over \$2.5 million

I have aggregated gross income of \$250,000 a year over the past 2 years.

Please have your accountant complete the Accountants Certificate (overleaf).

I accept this certificate is required to be renewed every 2 years

Name (Please Print): _____

Signature: _____

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Sophisticated Investor Form

To be completed by a qualified accountant

Date: _____

CERTIFICATE OF ASSETS & INCOME

(Sections 708(8)(c)(i & ii) of the Corporations Act)

I, (insert name of qualified accountant) _____

of (insert name of accounting firm) _____

of address (insert address of accounting firm) _____

Phone _____

Email _____

Am a member of the (insert name of institute) _____

Membership designation (insert membership designation) _____

Being a qualified accountant approved by the Australian Securities & Investment commission in accordance with Policy Statement 154, certify that:

Name: _____

Address: _____

Occupation: _____

Has,

[1] Net assets of over \$2.5 million or more as at (insert date) _____

or

[2] Received a gross income of \$250,000 or more in each of the last two financial years ending on 30 June _____

and 30 June _____

(Signature of qualified accountant) _____

(Name of qualified accountant) _____

Note:

Only a "qualified accountant" may provide a certificate under s708(8)(c). ASIC has approved the following persons as a "qualified accountant":

- any member of CPA Australia (CPAA) who is entitled to use the post-nominals "CPA" or "FCPA", and is subject to and complies with CPAA's continuing professional education requirements;
- any member of the Institute of Chartered Accountants in Australia (ICAA), who is entitled to use the post-nominals "CA", "ACA" or "FCA", and is subject to and complies with the ICAA's continuing professional educational requirements; and
- and member of the National Institute of Accountants (NIA) who is entitled to use the post-nominals "PNA", "FPNA", "MNIA", or "FNIA". And is subject to and complies with the NIA's continuing professional requirements.

PLEASE NOTE THIS CERTIFICATE NEEDS TO BE RECONFIRMED EVERY TWO YEARS IN ORDER TO REMAIN A SOPHISTICATED INVESTOR.

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