

i This form uses JavaScript for optimal performance. Please ensure you have this enabled if completing electronically. Refer to the end of this document for [submission instructions](#).

By applying to be recognised as a Wholesale client (sophisticated investor), I confirm and declare that:

- I acknowledge and accept I will lose the retail protections which are available under the Corporations Act 2001 (Cth) (“Corporations Act”), which include but are not limited to receiving retail disclosure documents such as a Financial Services Guide or Statement of Advice and receiving retail offer documents such as a Product Disclosure Statement or Prospectus;
- I acknowledge and accept that I may lose access to external dispute resolution services;
- I have satisfied myself that I understand the legal and financial implications of being a Wholesale client (sophisticated investor);
- I have the experience and capacity to make investment decisions without the benefit of personal financial advice or regulated disclosure documents issued in accordance with the Corporations Act;
- CommSec does not guarantee that any wholesale services or financial products will be made available to me; and
- An Accountant’s Certificate is only valid for a period of 2 years from the date of the Accountant’s Certificate and it is my responsibility to provide CommSec with a new Accountant’s Certificate prior to expiry. If I fail to do so, I will no longer be recognised as a wholesale investor and CommSec will be required to treat me as a retail investor until such a time as I provide CommSec with a new Accountant’s Certificate.

i For joint accounts, each account holder must be separately classified as a sophisticated investor and sign a separate Sophisticated Investor Form.

Client

Full Name

Date – DD / MM / YYYY

 / /

CommSec Account Number

Signature – *Must be signed pen to paper*

Issued under Chapter 6D (section 708(8)(c)) and Chapter 7 (section 761G(7)(c)) of the Corporations Act 2001 (Cth) (“Corporations Act”)

If there is more than one individual or entity, a separate form is required for each individual or entity.

I certify that:

Full legal name of person or entity		ABN/ACN/ARBN – <i>If any</i>	
<input type="text"/>		<input type="text"/>	
Of address			
<input type="text"/>			
Suburb	State	Postcode	Country
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

- has net assets of at least A\$2.5 million; or
- has a gross income for each of the last 2 financial years of at least A\$250,000 per annum.

Controlled Companies and/or Trusts – *where applicable*

It is also confirmed for the purposes of the Corporations Act that the above person or entity controls¹ the following companies and/or trusts:

Full legal name of company/trust	ABN/ACN/ARBN – <i>If any</i>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

- confirm that I am a member of one or more of the following professional bodies (tick appropriate box):
 - CPA Australia (“CPA” or “FCPA”)
 - Chartered Accountants Australia and New Zealand (“CA”, “ACA” or “FCA”)
 - Institute of Public Accountants (“AIPA”, “MIPA” or “FIPA”)
- I am subject to, and in compliance with, the relevant professional body’s continuing education requirements.
- I acknowledge that Commonwealth Securities Limited (“CommSec”) and its related entities may rely on this certificate for such period of time as is permitted by the Corporations Act.
- I confirm that I am independent of the above named person and/or entities.

Accountant full name	Name of firm
<input type="text"/>	<input type="text"/>
Membership Designation – <i>If applicable</i>	Accountant Membership Number
<input type="text"/>	<input type="text"/>
Date – DD / MM / YYYY	Business address
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/>
Signature – <i>Must be signed pen to paper</i>	Suburb
<input type="text"/>	<input type="text"/>
	State
	<input type="text"/>
	Postcode
	<input type="text"/>
	Country
	<input type="text"/>

¹ Refer to section 708(8)(d) and section 761G(7)(ca). For this purpose, “control” has the meaning given to it in section 50AA of the Corporations Act. Commonwealth Securities Limited (CommSec) ABN 60 067 254 399 AFSL 238814, a Participant of the ASX Group and Chi-X Australia.

How to submit your documents

Once completed and signed, please scan and email the form to

✉ accountmaintenance@commsec.com.au

📍 **CommSec**
 Locked Bag 22
 Australia Square NSW 1215

📞 13 15 19
 🌐 commsec.com.au