

# TRUST, OPPORTUNITIES AND OUTCOMES, TOGETHER

## Wholesale Client Certificate

### ELIGIBILITY CERTIFICATE

If you are investing less than \$500,000 (as a lump sum) you will need to have this form completed to satisfy the Trustee that you are a wholesale / sophisticated or professional investor.

**All Applicants must complete Section One.**

For sophisticated / wholesale investors who require certification by an independent accountant (ie not yourself or anyone related to the entities listed on this certificate) or authorised representative, complete Section Two.

For professional investors, please tick your category of qualification in Section Three and duly sign your declaration.

### SECTION ONE - APPLICANT DETAILS

Name:

Who control the following domestic companies or trusts:

Entity name:

Entity name:

Entity name:

Entity name:

### Privacy Statement

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## SECTION TWO - SOPHISTICATED/WHOLESALE INVESTOR CERTIFICATE

### Option A – Qualified Accountant’s Certification

Name of Accountant:

Business Address:

Member of Professional body:

Member #:

## DECLARATION

I certify that the following is true and correct:

- (a) I am a qualified accountant\*.
- (b) This certificate is given at the request of the Applicant described in Section One.
- (c) I confirm that I am independent of the applicant and their related entities.
- (d) the Applicant is known to me and for the purposes of section 761G(7)(c) Corporations Act the Applicant has:
  - (i) net assets of at least AUD \$2.5 million; or
  - (ii) a gross income for each of the last two financial years of at least AUD \$250,000 a year.

Signature of Qualified Accountant\*

Date:

\* Qualified accountant means a member of a professional body that is approved by ASIC in writing for the purposes of the definition. ASIC has indicated that for the purposes of the relevant definition of the Corporations Act it will approve any member of:

- (a) 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 development requirements;
- (b) 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 education requirements; or
- (c) the Institute of Public Accountants and is subject to and complies with the Institute’s continuing professional education requirements; or a member of an eligible foreign professional body\*\* who has at least three years practical experience in accounting or auditing and is providing a certificate for the purpose of section 761G(7)(c) Corporations Act to a person who is resident in the same country (being a country other than Australia) as that member.

\*\* Eligible foreign professional body means each of the following: American Institute of Certified Public Accountants, Association of Certified Chartered Accountants (United Kingdom), Canadian Institute of Chartered Accountants, Institute of Chartered Accountants New Zealand, Institute of Chartered Accountants in England and Wales, Institute of Chartered Accountants in Ireland and Institute of Chartered Accountants of Scotland.

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**Option B – Offer by financial services licensee category**

I/We, the Applicant acknowledge that the Financial Services Licensee Authorised Representative named below has not given me/us a disclosure document as referred to in Part 7.9 Corporations Act in relation to the offer to acquire units to be issued by Quanta Holding Co Pty Ltd ACN 601 712 707 or their duly Authorised Representatives.

Signature of Applicant

Date:

Signature of Applicant

Date:

**Financial services licensee to complete this section**

Name of Authorised Rep:

Business Address:

AFS licensee:

Auth Rep #:

I certify that the following is true and correct in accordance with s761GA of the Corporations Act 2001:

- (a) I am satisfied on reasonable grounds that the Applicant has previous experience in investing in financial products that allows them to assess:
- (i) the merits of subscribing for units in unregistered managed investment schemes; and
  - (ii) the value of units in managed investment schemes; and
  - (iii) the risks involved in accepting an Offer in an unregistered managed investment scheme; and
  - (iv) the information needs of the Applicant; and
  - (v) the adequacy of the information given by Quanta Holding Co Pty Ltd ACN 601 712 707 or their duly Authorised Representatives.
- (b) I have given the Applicant a written statement of my reasons for being satisfied on these matters, as required by section 761GA(e) of the Corporations Act 2001 which is attached to this declaration.

Signature of Authorised Representative

Date:

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### SECTION THREE - PROFESSIONAL INVESTOR CATEGORY

I/We, the Applicant certify that I/we constitute:

**Applicant to tick whichever box is applicable**

A financial services licensee; or

A body regulated by APRA (other than a Trustee of a super fund as listed in the point immediately below); or

The trustee of a superannuation fund, an approved deposit fund, a pooled superannuation trust or a public-sector superannuation scheme within the meaning of the Superannuation Industry (Supervision) Act 1993 (Cth) and the fund, trust or scheme has net assets of at least AUD \$10 million; or

(NB: THIS DOES NOT INCLUDE YOUR OWN SELF-MANAGED SUPERANNUATION FUND)

A body registered under the Financial Corporations Act 1974; or

A listed entity or a related body corporate of a listed entity; or

An exempt public authority; or

A person who has or controls gross assets of at least AUD \$10 million (including any amount held by an associate or under a trust that the applicant manages).

I/We certify that this declaration is true and correct.

Signature of Professional Investor

Date:

Signature of Professional Investor

Date:

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