

Definitions for the purposes of this consent form:

Broker means Australian Investment Exchange Limited (AUSIEX), ABN 71 076 515 930, AFSL 241400.

Broker Subsidiary means FIIG Securities Limited (FIIG), ABN 68 085 664 632, AFSL 224659.

Adviser code or current username

I, the undersigned and named **(Dealer Group)** or Authorised Representative of the Dealer Group **(Authorised Representative)**, hereby attest that for the clients listed and named in Schedule 1 of this Attestation **(Dealer Clients)** in accordance with Schedule 4 of Dealer Group Agreement **(the Agreement)** with the Broker for services provided by the Broker Subsidiary:

- a) The Dealer Client has received information/advice as applicable from the Dealer Group or an Authorised Representative associated with the Dealer Group regarding fixed income product trading; and
- b) The Dealer Group acting under its AFSL, has assessed and attested that trading fixed income products is suitable for the Dealer Client.

I, the undersigned and named Dealer Group confirm:

- a) All necessary client consents have been obtained (whether by the Broker's Client consent form or another form as prescribed by the Dealer or its Authorised Representative) to allow the Broker to share the Dealer's Clients' information with the Broker Subsidiary account opening and fixed income trading.
- b) I/We accept full responsibility for compliance with all Relevant Laws (within the meaning of the Agreement) in relation to trading fixed income products on behalf of the Dealer Client.
- c) I hold the necessitate authority from the Dealer Clients listed in Schedule 1 of this Attestation to act on the Dealer Client's behalf to trade in fixed income products with the Broker Subsidiary.

Full name

Date – DD/MM/YYYY

Signature

Schedule1 – Dealer's Clients

Please attach the full schedule of AUSIEX accounts including account name and account number you wish to establish FIIG accounts for.

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX') is a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. All trading, clearing, settlement and CHES sponsorship arrangements are held directly with AUSIEX.

How to submit your documents

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

✉ service@ausiex.com.au

📍 **AUSIEX**

Locked Bag 3005
Australia Square NSW 1215

📞 1800 252 351

🌐 ausiex.com.au