

WHOLESALE ADVISER AUTHORISATION FORM



This form enables an advice business to provide the details of advisers who are able to provide advice to Wholesale clients.

Part 1 - Organisation Details

Adviser Group / Business name

ACN/ABN (if applicable)

AFS Licensee name

AFSL number

Part 2 - Authorised Persons

We request that the following persons be provided access to our Adviser Service/s on Praemium's platform technology:

Name

Position/Title

Start date

Email

Phone

Name

Position/Title

Start date

Email

Phone

Name

Position/Title

Start date

Email

Phone

Name

Position/Title

Start date

Email

Phone

Part 3 - Declaration by Company Officeholders

I/We declare that the person(s) listed in Part 2 of this form are:

- Employees of our organisation. We will notify Praemium in the event of cessation of employment;
- Individuals whose actions will be treated by Praemium as being endorsed by our organisation; and
- Representatives for whose actions our organisation accepts full liability in connection with access to and use of Praemium's platform technology.

The AFS Licensee further confirms that it has undertaken appropriate due diligence and is satisfied that the individuals listed in Part 2 are competent and authorised by it to provide advice to wholesale clients.

Praemium is entitled to rely on this declaration without further enquiry and is not responsible for independently verifying the authority or status of the persons listed.

Signature of Director 1 / Sole Director)

Date

Name

Signature of Director 2 / Secretary

Date

Name

Part 4 - Important Information

This form allows an advice business (AFSL holder or associated entity) to:

- Nominate individuals who will access and act via Praemium's platform
- Confirm those individuals are authorised by the organisation
- Allocate responsibility and liability to the organisation for their actions

The form applies to advisers servicing wholesale clients only, including those who may not be listed on the ASIC Financial Adviser Register.

The form operates on an AFSL self-attestation model, with explicit reliance by Praemium, recognising that wholesale-only advisers may not be externally verifiable.

Glossary

AFSL (Australian Financial Services Licence) - A licence issued by ASIC authorising an entity to provide financial services. The licensee is responsible for authorising and supervising individuals.

Wholesale client - A client classified as "wholesale" under the Corporations Act. These clients are treated as sophisticated investors and do not require adviser registration on the ASIC Financial Adviser Register.

Wholesale-only adviser - An individual who provides advice to wholesale clients only. May not appear on the ASIC Financial Adviser Register

Please submit together with the Praemium Registration form by email to support@praemium.com.au.

If using eSignatures, please submit this form to us via an approved provider.

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