

## Clients located outside Australia

In accordance with Section 3.2 of our [Terms and Conditions of Business](#), you represent that you are wholesale clients' within the meaning of section 761G of the Corporations Act, 'Market Counterparties' as defined in the Glossary module of the ADGM FSRA Rulebook (in relation to Barrenjoey's fixed income business), and:

- if located in the **United Kingdom**: an investment professional within the meaning of article 19 the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, as amended ("FPO") or a person, body corporate, partnership, association or trustee who satisfies the prescribed asset and other requirements set out in article 49 of the FPO;
- if located in **Singapore**: (a) an approved exchange, a recognised market operator, an approved holding company, a clearing facility or a person licensed or exempt from licensing under the Securities and Futures Act 2001 ("SFA") to carry on the activities specified in the Second Schedule to the SFA, or (b) where dealing in bonds<sup>1</sup>, an expert investor or institutional investor as defined in the SFA, or any other person exempt from holding a capital markets licence under paragraph 2(1)(e) of the Second Schedule to the Securities and Futures (Licensing and Conduct of Business) Regulations;
- if located in **Hong Kong**: an institutional professional investor, falling under any of the paragraphs (a) to (h) of the definition of "professional investor" in section 1 of Part 1 of the First Schedule to the Hong Kong Securities and Futures Ordinance;
- if located in **New Zealand**: a wholesale investor, or in the case of financial advisory services, a wholesale client, both within the meaning of the Financial Markets Conduct Act 2013;
- if located in any of the following provinces of **Canada - Ontario, Quebec, British Columbia, Manitoba or Alberta**: a permitted client, as defined in the Canadian Securities Administrators National Instrument 31-103 - *Registration Requirements, Exemptions and Ongoing Registrant Obligations* ("NI 31-103"). Neither Barrenjoey Markets Pty Limited ("Barrenjoey Markets") and Barrenjoey Advisory Pty Limited ("Barrenjoey Advisory") are registered as a dealer or adviser in Canada. Barrenjoey Markets (in respect of Ontario, Quebec, British Columbia, Manitoba and Alberta) and Barrenjoey Advisory (in respect of Ontario, Quebec, British Columbia and Alberta) rely on the exemptions under NI31-103, the International Dealer Exemption ("IDE") and International Adviser Exemption ("IAE"), to provide products and services to you. You are advised to take note of the circumstances in which Barrenjoey Markets and/or Barrenjoey Advisory is/are providing services and products to you in reliance on the IDE and IAE in the Notification of Reliance on the International Dealer and International Adviser Exemption which can be found [here](#);
- if located in **Germany**: a professional client or eligible counterparty within their meanings in Annex II of MiFID II;

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<sup>1</sup> The term "bond" includes —

(a) any note, bond or treasury bill;

(b) an option in respect of any note, bond or treasury bill; and

(c) such other securities or class of securities as the Monetary Authority of Singapore may, from time to time, determine.

- if located in **Japan**: (a) where dealing in securities or securities-related derivatives, a bank, trust bank, an asset management company with discretionary asset management registration, or a financial institution listed in Article 209 of the Cabinet Office Order No. 52 of August 6, 2007, and/or (b) where dealing in over-the-counter non-securities related derivatives, any of the financial institutions listed in (a) above, a financial institution or corporate pension plan having no less than JPY 10 billion net assets, or a corporation that has no less than JPY 1 billion securities assets and who has notified the Financial Services Agency (“FSA”) of its intention to become a Qualified Institutional Investor as defined in Article 10 of Cabinet Office Ordinance on Definitions under Article 2 of the Financial Instruments and Exchange Act, and/or (c) where providing paid research or advisory services, a discretionary asset manager registered with the FSA as a Financial Instruments Business Operator to provide investment management service;
- if located in **Malaysia**: any government or government-owned entity or person licensed and regulated by the Securities Commission Malaysia or the Bank Negara Malaysia ;
- if located in the **Philippines**: a Qualified Institutional Buyer as defined in the Amended Implementing Rules and Regulations of the Securities Regulation Code (November 2015), as amended by SEC Memorandum Circular No. 6, Series of 2021 and the memorandum circulars issued by the SEC whose purchase of securities from issuers are considered exempt from the registration requirement of The Securities Regulation Code, Republic Act No. 8799 (19 July 2000);
- if located in **Switzerland**: an Institutional or Professional Client as defined in the Federal Act on Financial Services of 15 June 2018, as amended;
- if located in **Brazil**: a Professional Investor in accordance with CVM Resolution No. 30, of 11 May 2021;
- if located in the **United States**: (a) with respect to services on securities, securities-related derivatives or other products regulated by the Securities and Exchange Commission (“SEC”), a Major US Institutional Investor ( MUSII), or a SEC-registered broker-dealer (as defined in Rule 15a6 of the Securities Exchange Act 1934)(Barrenjoey’s registered U.S. broker-dealer for effecting transactions in accordance with Rule 15a-6 under US Securities Exchange Act 1934 with or for MUSIIs is Enclave Capital L.L.C.), and/or (b) with respect to services on products regulated by the U.S. Commodity Futures Trading Commission, an Eligible Contract Participant as defined in section 1(a)18 of the Commodity Exchange Act;
- if located in the **United Arab Emirates** (excluding the ADGM and DIFC): a Professional Investor as defined in Decision No (13/R.M) of 2021 on the Financial Activities Rulebook and Mechanisms of Adjustment;
- if located in the **Abu Dhabi Global Market** (“ADGM”): a Market Counterparty (in relation to Barrenjoey’s fixed income business) or FSRA Authorised Person, each as defined in ADGM Financial Services Regulatory Authority Rulebook;
- if located in the **Dubai International Financial Centre** (“DIFC”): a Professional Client as defined in Dubai Financial Services Authority Rulebook;

- if located in **Qatar** (excluding Qatar Financial Centre): a Qualified Investor as defined in the Offering and Listing of Securities Rulebook of 2021 issued by the Qatar Financial Markets Authority;
- if located in **France**: a professional client or eligible counterparty within their meanings in Annex II of MiFID II; or
- otherwise classified as a professional or institutional investor in the jurisdiction of your location that is permitted to use our services or exempt from such category of professional or institutional investor in accordance with the Applicable Law (as defined in our Terms and Conditions of Business) of the jurisdiction of your location in order to use our services.