

Nominated Adviser Declaration and Acknowledgment

Declaration

I declare that within the last ten years, within Australia or Overseas, I have not been:

- refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration, or authority is required by Law
- suspended from membership, or disciplined, by any securities, stock, futures, commodity, or other exchange
- refused membership by any securities, stock, futures, commodity, or other exchange
- refused membership of, or disciplined by, any professional body
- the subject of any findings, judgement or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil, or criminal proceeding in any country
- convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws)
- the subject of any ASIC banning order, disqualification, or enforceable undertaking
- found not to be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services
- engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration revoked or suspended
- found to have hindered, obstructed or misled, or was not candid or truthful with, a regulatory agency relating to financial services
- found to be obstructive, misleading or untruthful in dealing with a court, tribunal, official inquiry, complaints handling body, dispute resolution body, or professional or industry body relating to financial services
- declared bankrupt

Acknowledgment

I acknowledge that:

- (a) I have read the NSX Listing and Business Rules as at the date of this application and I have a working knowledge of the provisions of the Corporation Law as they relate to the securities industry;
- (b) I understand that recognition as a Responsible Officer of a Nominated Adviser is on the terms of, and subject to, the NSX Listing and Business Rules as varied from time to time;
- (c) I have provided correct information in this application and I understand that any wilful omission or misstatement on a material point in or in connection with this application may lead to rejection of this application or, if this application is approved, subsequent cessation of my approval;
- (d) I consent to NSX in its discretion obtaining any additional information it considers relevant to this application (including personal, credit or other information) from an investigative agency, a retail credit agency or any other source permitted by law in Australia or elsewhere and acknowledge that this application authorises such a source to release information to NSX;
- (e) I authorise the NSX Board to make available to the NSX Appeal Tribunal the reasons for its decision in the event that the NSX Board rejects this application, or approves this application and subsequently action is taken against me in respect of which there is a right of appeal to the NSX Appeal Tribunal and I

authorise the NSX Appeal Tribunal to make available to the NSX Board and to the Australian Securities and Investments Commission the reasons for a decision of the NSX Appeal Tribunal if it rejects such an appeal.

Hereby applies for approval as a nominated adviser for the purpose of the NSX Listing Rules and if you grant this application undertakes to:

- i) Discharge its responsibility as a nominated adviser under the NSX Listing Rules from time to time;
- ii) Advise you without delay if it is the subject of any disciplinary proceedings or similar action by any regulator or professional body;
- iii) Advise you without delay of any change to the staff who are involved in an executive capacity in the nominated adviser activities, including details of the qualifications and the experience of any new staff to be involved in an executive capacity in nominated advisers activities;
- iv) Advise you in writing without delay of its resignation or dismissal, giving details of any relevant facts or circumstances;
- v) Perform the role of nominated adviser only for any organisation from which it is independent as defined in the eligibility criteria as published by the Exchange from time to time;
- vi) Continue to comply with the eligibility criteria.

And further acknowledge that:

- 1) You may censure it and/or remove its name from the register of nominated advisers maintained by you if:
 - a) You consider that it is a breach of its responsibilities;
 - b) You consider that the integrity and reputation of the market may have been impaired as a result of its conduct or judgment; or
 - c) The number of suitably responsible officers falls below two and you may publicise the fact that you have done so and the reasons for your action
- 2) Appeals to the NSX appeals committee will be dealt with in accordance with the NSX Appeals procedures as published from time to time.

We declare that the information supplied is complete and correct and agree to comply with additional notification requirements.

We have read the NSX Nominated Advisers Practice Note and believe that this application conforms to the criteria and framework (except as specifically notified to you with this application).

Signatures

**Signature of
applicant***

Signature: _____



Date: _____

28 / 02 / 2020

**Signature of
witness**

Signature: _____



Address: _____

8 Mathieson Avenue,
Mosman Park WA 6012

Date: _____

28 / 02 / 2020

