

## SOPHISTICATED CLIENT DECLARATION

### Introduction

FP Markets is an independent and privately-owned company providing financial products to Retail, Sophisticated, Wholesale and Institutional Clients. The Company specialises in offering CFDs over equities, futures and forex.

The Corporations Act 2001 (Cth) (Corporations Act) provides for an issue of financial products to an investor without a Product Disclosure Statement where the investor is a Sophisticated client, within the meaning of section s761GA of the Corporations Act (Sophisticated Client).

An eligible client is someone who we believe has previous experience that allows them to assess:

- the merits of the product or service; and
- the value of the product or service; and
- the risks associated with holding the product; and
- the client's own information needs; and
- the adequacy of the information given by the licensee; and

At a minimum you will need to meet the following criteria:

- Have annual income of at least 100,000 AUD or assets of at least \$500,000 AUD
- Complete and pass a short online quiz (75% to pass); And
- Have traded Forex or CFDs at least 20 times per quarter for any 4 quarters in the preceding 5 years or traded Forex or CFDs with at least a notional value of AUD \$250,000 per quarter for any quarter in the past 5 years;
- Or
- Work or have worked in the financial sector for at least one year in a professional position which requires knowledge of leveraged trading.

If you wish to be treated as a Sophisticated Client you may need to provide some of following documentation to support this classification. Documentation you may include to support include:

- Recent Payslip showing annual salary or most recent tax return summary
- Certificate from your accountant stating your assets of at least \$500,000 AUD
- Demonstrate your trading history from FP Markets trading account/s
- A statement/s for the previous 5 years demonstrating your trading experience
- Employment contract from financial service
- Link to a Linkedin profile that clearly outlines your employment history

By Signing this Sophisticated Client Declaration form, I agree that I have requested First Prudential Markets Pty Ltd (FP Markets) to consider my experience for the purpose of becoming a Sophisticated client under s761GA of the corporations act.

I certify that I believe I have the experience and knowledge required to be able to understand the risks and product features associated with FX and CFD trading including:

- I have the experience and capacity to make investment decisions without the benefit of regulated disclosure documents issued to retail clients.
- I have satisfied myself that I understand the legal and financial implications of being a Sophisticated client.
- I understand that, being a Sophisticated client, I will lose certain protections available to retail clients.
- I will not be acquiring financial products with FP Markets in connection with a business.
- I understand that FP Markets may revoke my status as a Sophisticated Client, and treat me as a retail client, at any time.

I acknowledge that as a Sophisticated Client:

- FP Markets will no longer provide me with a PDS, FSG or any other document that is provided to a retail client. Where these documents have already been provided to me, I understand they no longer apply to me.
- FP Markets does not have any obligation to me under Chapter 7 of the Act as a retail client unless otherwise specified in the Act.

I acknowledge that I have read and agree to be bound by:

- FP Markets Sophisticated Client Terms and Conditions
- FP Markets Sophisticated Client Information Sheet
- FP Markets Sophisticated Client Key Policies

I declare that all information I have provided to FP Markets as part of my submission is complete and accurate. I agree to notify FP Markets if my circumstances change which may reasonably impact my ability to meet the minimum standards set out by FP Markets.

Full Name:

Signature:

Date: