

SOPHISTICATED INVESTOR DECLARATION

高阶投资者声明

Introduction

介绍

First Prudential Markets Pty Ltd (ABN 16 112 600 281, AFSL 286354, “**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.

First Prudential Markets Pty Ltd (ABN 16 112 600 281, AFSL 286354, 以下简称“**FP Markets**”)是一家独立的私营金融服务公司，主要业务是为零售客户（Retail），高阶投资者（Sophisticated），高净值客户（Wholesale）以及机构（Institutional）客户提供金融交易产品，主要可交易产品为全球股票，期货和外汇的CFD差价合约，

The Corporations Act 2001 (Cth) (“**Corporations Act**” or “the **Act**”) allows for the issue of financial products to a client without a Product Disclosure Statement (“**PDS**”) where the client is a “wholesale client” within the meaning of section s 761G of the Corporations Act. One category of wholesale clients under the Corporations Act are “sophisticated investors”, who are clients that meet the criteria set out in s 761GA of the Act.

依据澳大利亚公司法（The Corporations Act 2001）第 s 761G 条款对高净值客户（Wholesale clients）解释，高阶投资者（Sophisticated Investors）符合高净值客户标准，经纪商可以免于对高净值客户（包括高阶投资者）提供『产品风险披露声明 - Product Disclosure Statement』。

In short, a sophisticated investor is someone who FP Markets is satisfied on reasonable grounds has previous experience in using financial services and investing in financial products that allows them to assess:

简而言之，高阶投资者是可以通过FP Markets 高净值客户资质测评的用户，他们具有一定的投资经验并且掌握和熟练使用多种金融工具。具体评估方面：

- the merits of the product or service;
产品和服务的特点;
- the value of the product or service;

产品和服务的价值;

- the risks associated with holding the product;
与持有产品的相关风险;
- their own information needs; and
投资者本人的信息需求, 以及
- the adequacy of the information given by the licensee.
经纪商 (金融持牌公司) 提供的信息充分性

FP Markets applies a stringent test to satisfy itself of the matters above. At minimum, you will need to meet the following criteria:

FP Markets进行了严格的高净值客户测试来满足上述要求。至少, 您需要满足以下条件:

- Have annual income of at least 100,000 AUD (current or last financial year) or net assets of at least \$500,000 AUD;
年收入不低于10万澳元, 或者净资产不低于50万澳元;
- Have completed and passed a short online quiz (75% to pass);
完成在线评估, 正确率要在75%以上;
- 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 \$500,000 per quarter for any quarter in the past 5 years; or
在过去五年的任意4个季度中, 交易的产品价值不低于50万美元。您可以通过提供您在FP Markets的账户, 其它经纪商的账户或者多个账户结合来证明。
- Work or have worked in the financial sector for at least one year in a professional position which requires knowledge of leveraged trading.
目前在金融行业工作, 或在金融行业需要杠杆交易 (外汇或差价合约) 知识的专业岗位工作过一年以上。

If you wish to be treated as a sophisticated investor you will be asked to provide some or all of following documentation to support this classification:

如果您申请高净值客户评估, 您需要提供以下信息:

- Recent Payslip showing annual salary or most recent tax return summary
近期工资单, 需要可以表明年收入; 或者近一年的个人缴税单;
- Certificate from your accountant stating your assets of at least \$500,000 AUD
您的会计师出具的资产证明文件, 表明您的净资产不低于50万澳元, 会计资质需要满足澳大利亚会计准则;
- Documents demonstrating your trading history from FP Markets trading account/s
您在FP Markets的历史交易记录;
- Statement/s for the previous 5 years demonstrating your trading experience, whether from FP Markets or another reputable broker;
过去五年您在FP Markets或者其他经纪商进的交易记录。
- Employment contract from a financial services business.
您与工作的金融机构之间的劳务合同。

If FP Markets determines that I am eligible for classification, you will be provided with a written statement containing FP Markets' reasons for being satisfied as to the criteria in s 761GA. 如果通过FP Markets的评估，您确实符合高阶投资者标准，FP Markets将会为您提供一份书面的通知来说明您满足澳大利亚公司法（The Corporations Act 2001）第 s 761G 条款的依据。

By signing this Sophisticated Investor Declaration form, I warrant that I have requested FP Markets to consider my previous experience for the purpose of classification as a sophisticated investor under s 761GA of the Corporations Act.

通过签署此“高阶投资者声明”文件，我授权并且要求FP Markets根据澳大利亚公司法（The Corporations Act 2001）第 s 761G 条款，对我以往的投资经验和所提供的资产证明进行评估，将我视为高阶投资者（Sophisticated Investors）。

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. I certify that:

我确信，我有足够的经验和知识可以理解外汇和差价合约交易的风险和产品特性。我证明：

- I have the experience and capacity to make investment decisions without the benefit of regulated disclosure documents (e.g. Product Disclosure Statements, Financial Services Guides) typically issued to retail clients;
即使不给我提供那些受监管的披露文件（例如：通常提供给零售客户的『产品风险披露声明Product Disclosure Statements』，『金融服务指南Financial Services Guides』），我的投资经验和能力也可以让我做出投资决定。
- I have satisfied myself that I understand the legal and financial implications of becoming a sophisticated investor;
我对自己作为一个高阶投资者（Sophisticated Investor）能够理解相关的法律和金融的含义而感到满意。
- I understand that, being a sophisticated investor, I will lose certain protections available to retail clients;
作为一个高阶投资者（Sophisticated Investor），我能理解我将不再获得某些对零售投资者的保护；
- I will not be acquiring financial products from FP Markets in connection with a business; and
我将不会在FP Markets购买与业务有关的金融产品；以及
- I understand that FP Markets may revoke my status as a sophisticated investor, and treat me as a retail client, at any time.
我了解FP Markets随时有权取消我高阶投资者（Sophisticated Investor）资格，并将我视为零售客户（Retail Client）。

I acknowledge that:

我了解：

- FP Markets has not and will no longer provide me with a PDS, FSG or any other document

that is provided to a retail client. If I already have these documents, I understand that they no longer apply to me; and

FP Markets 不再向我提供PDS (产品风险披露声明) , FSG (金融服务指南) 以及其它提供给零售客户的文件。如果我以前收到过这些文件, 我知道这些文件将不再适用于高阶投资者 (Sophisticated Investor) 。

- FP Markets does not have any obligation to me under ch 7 of the Corporations Act that they typically would have if I were trading as a retail client. Unless otherwise specified in the Act. 根据公司法第 7 章 (ch 7 of the Corporations Act) , FP Markets对零售客户行使的义务将不再适用于我。除非公司法 (Act) 的特别规定。

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

我确认, 我已阅读并同意以下条款和要求:

- FP Markets Sophisticated Client Terms and Conditions;
FP Markets 高阶投资者 (Sophisticated Client) 条款与条件;
- FP Markets Sophisticated Client Information Sheet; and
FP Markets 高阶投资者 (Sophisticated Client) 信息表, 以及;
- FP Markets Sophisticated Client Key Policies.
FP Markets 高阶投资者 (Sophisticated Client) 主要政策。

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

我声明, 作为信息提交的一部分, 我已经提供或者将要提供给FP Markets的所有信息都将是完整的、真实的和准确的。如果我的个人状况发生变化, 我同意通知到FP Markets, 并且我知道这可能会影响我达到FP Markets设置的最低评估标准。

I acknowledge that classification as a sophisticated investor is not guaranteed and depends entirely on FP Market's satisfaction with my application.

我了解, 我不一定会通过高阶投资者 (Sophisticated Investor) 的评估, 这完全取决于FP Markets对我申请的满意程度。

Full Name/名字 (拼音)	
Signature/签字	
Date/日期	