FIRST PRUDENTIAL MARKETS PTY LTD

# Sophisticated Client Declaration

fpmarkets

# Sophisticated Client Declaration

## INTRODUCTION

Upon application, First Prudential Markets Pty Ltd (FP Markets) may treat you as a Sophisticated Client under section 761GA of the *Corporations ACt 2001* (Cth). To do so, we must be satisfied on reasonable grounds that your previous experience allows you to assess:

- The merits, value and risks of our products and services
- Your own information needs
- The adequacy of the information given by the licensee and the product issuer;

## ELIGIBILITY CRITERIA

- Have annual income of at least AUD 100,000 or assets of at least AUD 500,000; and
- Have made at least 20 CFD trades per quarter (for any four quarters within the last three years), with a minimum notional trading volume of AUD 2,000,000 for equities or AUD 5,000,000 for FX in each of the four qualifying quarters within the last three years, or
- Currently hold or have held a professional position in the financial services sector requiring direct experience with leveraged financial products or derivatives, for a minimum of 12 months.

## SUPPORTING DOCUMENTATION

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

- Recent payslip showing annual salary or most recent tax return summary
- Certificate from your accountant stating your assets of at least AUD 500,000
- Trading statements demonstrating that you meet the trading experience criteria
- 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 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 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 is no longer required to 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 can request to be reclassified as a Retail Client at any time.

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

**Once you have completed this form, please send it along with the required supporting documentation to pro@fpmarkets.com.au**

## DECLARATION & SIGNATURE

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.

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|---|---|
| **Client Name:** | |
| **Client Signature:** | |
| **Date (DD/MM/YYYY):** | |