FIRST PRUDENTIAL MARKETS PTY LTD

Wholesale Client Certification

fpmarkets

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INTRODUCTION

FP Markets is an independent and privately-owned company providing financial products to Retail, Wholesale and Institutional Clients, focussing on lower-risk and higher-income portfolios. 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 wholesale client, within the meaning of section 761G of the Corporations Act (**Wholesale Client**).

If you wish to be treated as a Wholesale Client you will need to provide the following documentation to support this classification:

1. Complete the investor details on the application form in full and complete the checklist below to determine the criteria under which you fall as a Wholesale Client.
2. If you have a Wholesale Investor Certificate from a qualified accountant (see below for details of what qualifications are required) that is less than 2 years old at the time of making the application, please send a copy of this to FP Markets; or
3. If you don't have an existing Wholesale Investor Certificate, you will need to contact a suitably qualified accountant to complete the Qualified Accountant's Certificate. Once this is completed, please send a copy of this to FP Markets with the completed Application Form.

QUALIFIED ACCOUNTANT CRITERIA

Professional Body	Declared Membership Classifications
The Institute of Chartered Accountants in Australia	CA, ACA and FCA
CPA Australia	CPA and FCPA
Institution of Public Accountants (IPA)	AIPA, MIPA and FIPA
Eligible foreign professional bodies: • Institute of Chartered Accountants of New Zealand • The American Institute of Certified Public Accountants • Canadian Institute of Chartered Accountants • Association of Certified Chartered Accountants (United Kingdom) • The Institute of Chartered Accountants in England and Wales • The Institute of Chartered Accountants in Ireland • The Institute of Chartered Accountants in Scotland	Under ASIC's declaration a person is also a qualified accountant if they are a member of one of the eligible foreign professional bodies listed and they: • have at least three years' practical experience in accounting or auditing, and • are only providing a certificate for the purposes of ss708(8)(c) and 761G(7)(c) of the Corporations Act to a person who is resident in the same country (other than Australia) as the investor.

IMPORTANT POINTS TO REMEMBER

Your Wholesale Investor Certificate must:

- be held in the same name as your investment; and
- be renewed every two years.

WHOLESALE CLIENT REQUEST

I am requesting to be recognised as a Wholesale Client under one of the categories nominated below:

☐	I have net assets of at least AUD 2.5 million*; or I have a gross income of AUD 250,000 or more for each of the last 2 financial years (please provide Accountant's Certificate)*; or
☐	I control assets of AUD 10 million or more (please provide evidence).

** The criteria must be satisfied by the person/entity to whom any wholesale offer is made, or to a person or entity that controls another entity that satisfies the criteria. For example, a person who controls a company that has net assets of at least AUD 2.5 million (or a person who controls a number of companies that combined have net assets of AUD 2.5 million) could qualify as a Wholesale Client on behalf of the company(s) or as an individual. (Please provide a Qualified Accountant's Certificate which is less than 2 years old.)*

Alternatively, I am a Professional Investor in the category nominated below:

☐	I/we are an Australian Financial Services licensee.
☐	I/we are a body regulated by APRA (other than a trustee of any of the following within the meaning of the Superannuation Industry (Supervision) Act 1993): • a superannuation fund; or • an approved deposit fund; or • a pooled superannuation trust; or • a public sector superannuation scheme; within the meaning of the Superannuation Industry (Supervision) Act 1993, and the fund, trust or scheme has net assets of at least AUD 10 million.
☐	I am a body registered under the Financial Corporations Act 1974 (other than a trustee of any of the following): • a superannuation fund; or • an approved deposit fund; or • a pooled superannuation trust; or • a public sector superannuation scheme; within the meaning of the Superannuation Industry (Supervision) Act 1993, and the fund, trust or scheme has net assets of at least AUD 10 million.
☐	A person or entity that has or controls gross assets of at least AUD 10 million (including any amount held by an associate or under a trust that the person manages).
☐	A listed entity or a related body corporate of a listed entity.
☐	An exempt public authority.
☐	A body corporate, or an unincorporated body, that: • carries on a business of investment in financial products, interests in land or other investments; and • for those purposes, invests funds received (directly or indirectly) following an offer or invitation to the public, within the meaning of section 82 of the Corporations Act, the terms of which provided for the funds subscribed to be invested for those purposes.

Please ensure that you provide evidence of your status with your application.

WHOLESALE CLIENT CONFIRMATION AND DECLARATION

By signing the application form for investment you declare that:

- I will immediately notify FP Markets should I cease to meet the above ticked option as a Wholesale Client.
- I acknowledge and accept that, as a Wholesale Client, I will not have the same regulatory protections as a retail client under the Corporations Act which include, but are not limited to, receiving a Financial Services Guide, Statement of Advice, offer documents such as a Product Disclosure Statement or Prospectus and access to the external dispute resolution service.
- I have satisfied myself that I understand the legal and financial implications of becoming a Wholesale Client.
- I control any entities named above.
- I acknowledge that as a Wholesale Client, the certificate provided by a qualified accountant is only valid for a period of 2 years from the date of issue as permitted under the Corporations Act and it is my responsibility to provide FP Markets with a renewed certificate prior to its expiration.

DECLARATION & SIGNATURE

Client Name:	
Client Signature:	
Date (DD/MM/YYYY):	

QUALIFIED ACCOUNTANT'S CERTIFICATE

This certificate is given for the purposes of Section 708(8)(c) and Section 761G(7)(c) of the Corporations Act 2001 (Cth).

ACCOUNTANT DETAILS	
Name of Accounting Firm:	
Name of Accountant:	
Address:	
Telephone:	
Email:	

CERTIFICATION	
Having reviewed the financial position, I certify that (print full legal name of person – individual or company):	
☐	Has net assets of at least AUD 2.5 million; or
☐	Has gross income of AUD 250,000 or more for each of the last 2 financial years.

CONTROLLED COMPANIES OR TRUSTS

It is also confirmed, for the purposes of the Corporations Act, that the above-named person controls the following companies and trusts:

Full Name of Company or Trust	ABN / ACN / ARBN (if applicable)

PROFESSIONAL BODY	
I am a member of the following professional body:	
My membership designation from this professional body is:	

I am bound by this professional body's continuing professional education requirements.

SIGNATURE	
Signature of Accountant:	
Date of Certificate* (DD/MM/YYYY):	

** I acknowledge that this certificate is valid for a period of 2 years from the date of issue as permitted by the Corporations Act.*

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