



# WHOLESALE CLIENT QUESTIONNAIRE

Margin FX Contracts and CFDs

Company:	Fortune Prime Global Capital Pty Ltd trading as Fortune Prime Global
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## WHOLESALE CLIENT QUESTIONNAIRE

### CONTRACTS FOR DIFFERENCES & MARGIN FX CONTRACTS

The financial information and representations in this questionnaire are required to be provided to Fortune Prime Global Capital Pty Ltd trading as Fortune Prime Global (AFSL Number: 400364) for the undersigned to qualify as an “Wholesale Client” as defined by Chapter 7 of Corporations Act 2001 (Cth) (“**Corporations Act**”) in order to receive financial services from Prospero Markets in relation to contracts for differences (**CFDs**) and margin foreign exchange contracts (**Margin FX Contracts**) (together the “**Products**”). The prospective client must read, qualify under, and initial at least one of the sections below.

The undersigned prospective client represents and warrants for purposes of receiving financial services from Prospero Markets in relation to Products that the prospective client is and shall be acting for its own account and shall at all times qualify, notwithstanding any subsequent determination to the contrary, as an “Wholesale Client” as defined by Section 761G and Section 761GA of the Corporations Act because the prospective client:

Guidance:

- Check and initial any and all that apply. Please note that all monetary figures are given in AUD; and
- Please note in accordance with the Corporations Act, the reference to person refers to a natural individual or legal entity.

<input type="checkbox"/>	<p><b>Sophisticated Investor Test</b> (in accordance with s 761GA Corporations Act) – the person has satisfied Fortune Prime Global that they have previous experience in using <a href="#">financial services</a> and investing in <a href="#">financial products</a>, and the product/service <b>is not provided in connection with a business</b>.</p> <p><i>Note: If qualifying under this criterion, the prospective client will need to provide proof and or confirmation of its experience. Please refer to Appendix C. Fortune Prime Global may ask for additional information to confirm as it deems necessary.</i></p>
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The undersigned prospective client represents that the information contained herein is complete and accurate and may be relied upon by Fortune Prime Global and its respective principals, associated and affiliates in determining the prospective client’s qualification as an Wholesale Client as defined by Chapter 7 Corporations Act 2001; and that the prospective client will notify Fortune Prime Global immediately of any material change in any such information occurring prior to entering into any foreign currency transaction through or with such entities.

\_\_\_\_\_  
Signature of Prospective Client

\_\_\_\_\_  
Signature of Joint account Holder  
(if applicable)

\_\_\_\_\_  
Name of Client (Please Print Name)

\_\_\_\_\_  
Name of Joint Account Holder (Please Print Name)

## Appendix A – Sophisticated Investor Form

For completion where Sophisticated Investor applicant is applying for consideration as an “Sophisticated Investor” under Section 761GA of the Corporations Act

Name:	
Address:	
Occupation	
Qualifications:	

I wish to apply using the following method of qualification:

**Knowledge Test:**

Have demonstrable knowledge of CFD or other leveraged derivatives trading by completing a short knowledge test during online account opening.

AND

**Trading experience requirement:**

- Provide account/transaction statements show minimum of 50 transactions (Including FX, indices, commodities, metals and Share CFDs) and AUD \$500,000 aggregate notional transaction value per quarter in at least 4 quarters over the past 3 years.**

Please note the 4 qualifying quarters do not necessarily have to be consecutive, essentially any 4 quarters out of the last 12.

OR

- Provide evidence of employment showing that the client is currently working or have previously worked for at least one year in a professional position which requires the knowledge of, and experience in, leveraged trading in FX and or CFDs.

OR

- Investment Experience and Qualifications:

(Please include details on size of investments made or managed, frequency of investments, number of years you have been investing, unlisted investments undertaken, experience with unlisted and listed investments, and frequency of such investments activity relative to your equity investments.)

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Client Acknowledgements:

Fortune Prime Global holds an Australian Financial Services License number 400364.

I, \_\_\_\_\_ (Client Name) consider that I have the necessary previous experience in using financial services and investing in financial products that allows me to assess:

- The services offered by Fortune Prime Global in relation to the proposed financial products;
- The value of the services offered by Fortune Prime Global in relation to the financial products; and
- The adequacy of information provided to me by Fortune Prime Global relating to the financial products.

I also consider that I have the necessary previous investment experience 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
- My own information needs; and
- The adequacy of the information given by the licensee and the product issuer.

By completing and submitting this request, I acknowledge that if I am accepted as a client of Fortune Prime Global, I have not received and will not receive from Fortune Prime Global any documentation such as a product disclosure document relating to the financial products that would be required to be given to me if I was a retail client. Fortune Prime Global does not have any other obligation to me that it would have if I were a retail client as per section 761G of the Corporations Act.

\_\_\_\_\_  
Signature of Prospective Client

\_\_\_\_\_  
Name of Client (Please Print Name)

\_\_\_\_\_  
Date: