

GO Markets Pty Ltd

Introducing Broker (IB) & Affiliate Guidelines

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GO MARKETS

first choice for trading

Introducing Broker (IB) & Affiliate Guidelines

About GO Markets Pty Ltd (GO Markets)

GO Markets ("GO") holds an Australian Financial Services Licence (AFSL 254963) regulated by the Australian Securities and Investments Commission (ASIC). GO's reputation within Australia is as an "industry veteran", widely acknowledged as one of the first Australian FX brokers to successfully introduce the MetaTrader 4 trading platform.

Purpose of the IB & Affiliate Guidelines

We have developed this guideline to outline GO's regulatory obligations when we are engaging with you as an IB or Affiliate, and provide a framework for how we expect our IB & Affiliate partners to assist us to comply with these obligations.

For ease of use, we have listed the good practices we require from you as an IB & Affiliate, as a checklist on the next page. Before submitting your application, please ensure that you have carefully reviewed your media channel/platform (website, blogs, Facebook, Instagram, YouTube etc.) against this checklist.

The information in this guideline is to be read in conjunction with the terms and conditions outlined your IB/Affiliate agreement with us.

Regulation Matters

As an AFS Licensee, GO Markets has an overriding obligation to treat its clients "**fairly, efficiently and honestly**". This governs everything we do, including the relationships we have with third parties such as IBs & Affiliates.

When we assess your suitability, we generally apply the same regulatory considerations that we must abide by when marketing our own products and services. If we were to accept an IB or Affiliate who had misleading content on its website, we would be in breach of our obligations.

Assessing IB & Affiliate Applications

When assessing your IB & Affiliate application, we consider:

1. The business you are engaged in.
2. If you are a regulated entity, and if not do you need to be.
3. The information on your media platform and if there is any potentially misleading or deceptive information; and
4. Your brand/reputation in the market/industry

Your GO Markets Account Manager will be your primary point of contact and will advise if your application has been accepted.

Successful applicants will then be requested to provide KYC/Identification documents as part of our due diligence process. Approval of your application, including any marketing material (e.g. ad, commercials) will be subject to a satisfactory due diligence result.

Ongoing Monitoring

After the approval of an application, IBs & Affiliates will be subject to ongoing monitoring including an annual review of your media channel/platform. If a breach of our guidelines is detected after your application has been approved, you will be asked to make the necessary modifications to the marketing material. Failure to do so within a reasonable period of time may lead to the IB / Affiliate agreement being terminated by GO Markets.

Checklist

Use the following checklist as a guide when preparing and reviewing your media material (i.e. advertisements and promotional material etc)

Checklist

Material checked?

1. Factual information only. No financial product advice.

The media platform must only provide factual information about financial products and services.

Factual information is objectively ascertainable information, the truth or accuracy of which cannot reasonably be questioned.

Financial product advice generally involves a qualitative judgement about - or an evaluation, assessment, or comparison of - some or all of the features of a financial product.

Only AFS licence holders (or jurisdictional equivalent) with the relevant authorisation are authorised to provide financial advice to clients. We suggest including a disclosure when providing factual information

The information on this website has been prepared for educational purposes only and is general in nature. The information provided has not considered your objectives, financial situation or needs, and is not intended to imply any recommendation or opinion about a financial product.

2. Impression

The content on your media platform must not be misleading or deceptive (even unintentionally misleading or deceptive).

If a claim regarding your product or services cannot be substantiated by up to date documentary evidence, then it may be considered misleading.

3. Benefits and risks

The content on your media platform should give a balanced message about benefits and risks of products and services – do not overstate the potential benefits or create unrealistic expectations.

You should make sure that risks about your financial product are clear, not hidden or difficult to understand.

4. Past Performance

When presenting/using performance figures on your media platform you should not falsify or "cherry pick" the data and include a caveat where the data is published. If you are referencing past performance, you will need a statement like this one:

Past performance is not a reliable indication of future performance.

Checklist

Material checked?

5. Opinions or projections regarding future matters

Forecasts must be based on reasonable assumptions and must not be misleading. Forecasts about future performance should also state that the forecasts are not guaranteed to occur.

Any opinions, projections and forward-looking statements contained are estimates only, and there can be no assurance that any such forward-looking statements will prove to be correct. Actual results may differ materially from those expected or implied as forward-looking statements.

6. Warnings, disclaimers, qualifications, and fine print

Use of warnings, disclaimers and qualifications should not be inconsistent with other content (e.g. headline claims) and should be sufficiently prominent (i.e. same format as the main body of the message and not in fine print or hidden).

7. Fees and costs

Where fees or costs are mentioned, it should give a realistic impression of the overall level of fees and costs the consumer is likely to pay (including any indirect fees or costs).

8. Restricted use of certain terms and phrases

Take care and avoid using terms such as: free, secure and guaranteed which could be misleading if used in the inappropriate context. Avoid creating expectations that cannot be met.

9. Photographs, diagrams, images, and examples

Use of photographs and images must not be misleading and contradict, detract from, or reduce the prominence of any warnings, disclaimers or qualifications. Tables, charts and diagrams should be easy to understand and not be ambiguous, overly complicated or falsified.

10. Testimonials

No falsified testimonials are permitted to be used. Only genuine testimonials with the consent from the person providing the testimonial can be used.

11. Use of the GO Markets name and Logo

It is strictly prohibited to use the GO Markets name and logo unless written permission is given by GO Markets.