



金融服务指南 FINANCIAL SERVICES GUIDE

请注意：本文件中包含的翻译仅仅为您提供便利，若这些文件的英文版本与翻译版本有任何冲突，则将以英文版为准，且英文版的内容将是您与 GFT 间所建立与维护之合约关系的基础。

Please note that the translations included in this document are strictly for your convenience only and in the event of any conflict between the English and translated versions of these documents the English version will take precedent and is the document on which the contractual relationship between yourself and GFT will be established and maintained.

本《金融服务指南》于 2010 年 5 月 12 日编制，并同时取代 2008 年 7 月 3 日编制的《金融服务指南》。
This Financial Services Guide was prepared on 12 May 2010 and replaces the Financial Services Guide that was prepared on 03 July 2008.

联系方式：
You can contact us:

Global Futures & Forex, Ltd.
澳大利亚注册编号：103 508 461
澳大利亚金融服务许可证编号：226625

Global Futures & Forex, Ltd.
ARBN 103 508 461
Australian Financial Services License Number 226625

Suncorp Place
259 George St., Level 29, Suite 4
Sydney, NSW 2000
Australia
传真：/ Fax: 61.2.9028.7555
电子邮箱：/ E-mail contact: info@gft.com.au/contact/

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术语表

GLOSSARY OF TERMS

ASIC/澳大利亚证券投资委员会: 系指依法根据授权管理和执行《公司法（2001年）》中适用于金融服务业之条款的澳大利亚政府监管机构。

ASIC/Australian Securities and Investments Commission: the Australian government regulatory agency empowered to administer and enforce the Corporations Act 2001 as it applies to the financial services industry.

AFSL/澳大利亚金融服务许可证: 系指依据《公司法（2001年）》第 911A 款之规定颁发的，授权持证人在澳大利亚司法辖区内开展金融服务业务的许可证。

AFSL/Australian Financial Services License: a license under section 911A of the Corporations Act 2001 authorizing the holder to carry on a financial services business within the Australian jurisdiction.

CFTC/商品期货交易委员会: 系指负责监督和执行美国《商品交易法》的美国联邦机构。

CFTC/Commodity Futures Trading Commission: US federal agency charged with oversight and enforcement of the Commodity Exchange Act in the United States.

货币对: 系指在涉及两种货币的交易中所使用的那两种货币，在该等交易中，交易双方同意向对方交付特定数量的一种货币，以换取特定数量的另一种货币。

Currency Pair: The two (2) currencies employed in a two (2) currency transaction wherein each party to the trade agrees to deliver a specific quantity of a particular currency to the opposing party in return for a specific quantity of another currency.

交易商点差: 系指作为做市商的 GFT 愿意买入和卖出特定货币对的价格之差。

Dealer Spread: the difference between the prices at which GFT, as market maker is willing to buy and sell a given Currency Pair.

FCM/期货佣金商: 系指招揽或接受期货合约或期货期权买入或卖出委托，并接受客户的金钱或其他资产来支持该等委托的美国境内个人或组织。FCM 须在 CFTC 办理注册登记手续。

FCM/Futures Commission Merchant: An individual or organization in the United States which solicits or accepts orders to buy or sell futures contracts or option on futures and accepts money or other assets from customers to support such orders. An FCM is registered with the CFTC.

外币和期权账户协议: 系指您与 GFT 订立的，载明各项条款与条件或您与 GFT 之间关系的协议。

Foreign Currency and Options Account Agreement: Agreement entered into between GFT and you setting out the terms and conditions of your relationship with GFT.

外汇交易合约:

Foreign Exchange Contracts:

交易所交易合约: 在期货交易所交易的合约。

Exchange Traded: Contracts dealt with on futures exchanges.

远期合约: 约定在即期交割日以后的时间进行结算。交易可在数天之后至到期日之前的任何时间进行。但必须进行交割的日期为一个固定日期，而非不固定的日期。

Forward: Calls for settlement beyond the spot date. Can be dealt with from a few days to any impending date. A fixed date is where delivery must occur on a single day as opposed to an open date.

场外交易: 与期货合约相对，是通过电子方式订立的合约，以下简称“OTC”。

Over the Counter: Electronically made contracts as opposed to futures contracts. Referred to as "OTC".

初始保证金: 系指客户在达成交易前必须向 GFT 支付的金额。

Initial Margin: The amount that a client must pay to GFT before a trade is entered into.

NFA/全美期货协会: 系指根据《商品交易法》第 17 条成立的美国期货行业自律组织，受 CFTC 的监督管理。

NFA/National Futures Association: A futures industry self-regulatory organization in the US under section 17 of the Commodity Exchange Act and is subject to CFTC regulatory oversight.

即期合约: 最常见的外汇交易类型，按照报价货币的当前或“即时”价格进行交易。“即期”指要求在两个营业日内结算的即期交易交割日，受交割日计算方法的制约。

Spot Contract: The most common foreign exchange transaction, the current or “now” price of the quoted currencies. Spot refers to the spot transaction value date that requires settlement within two business days, subject to value date calculation.

交易账户: 系指您在 GFT 开立的账户。

Trading Account(s): Your account or accounts with GFT.

USD: 系指美元。

USD: United States dollars.

1. 引言 / INTRODUCTION

本《金融服务指南》(“FSG”)旨在帮助您决定是否愿意使用 Global Futures & Forex, Ltd. (“GFT”) 提供的任何服务。本 FSG 可从 GFT 网站上下载, 或在我们向您提供金融服务之前另行提供予您。

This Financial Services Guide (“FSG”) has been prepared to assist you to decide whether you wish to use any of the services which Global Futures & Forex, Ltd. (“GFT”) offers. This FSG can be downloaded from GFT's website or will otherwise be provided by GFT prior to us providing you with our financial services.

敬请惠存本指南, 以便您在将来的 GFT 交易中参考。

You should retain this document for your reference and any future dealings with GFT.

本 FSG 载明下列有关重要信息:

This FSG contains important information about:

- 公司简介 / who we are;
- 运作流程 / how we operate;
- 服务费 (服务费用及收费) 收取方式及金额 / how and what we charge you for providing our services (our fees and charges);
- 投诉处理 / how we will deal with your complaints; and
- 表明我们可能存在的有关利益冲突的联营合作关系的详情。 / details of our associations and relationships that identify any potential conflicts of interest we may have.

在使用我们的金融服务之前, 您亦须阅读我们的《产品披露说明书》(“PDS”), 因为该 PDS 载明我们可能向您提供之特定金融产品的相关重要信息。该等产品信息包括:

You must also read our Product Disclosure Statement (“PDS”) prior to using our financial services because our PDS includes important information about the particular financial products we may provide to you. This product information includes:

- 重大收益; / significant benefits;
- 重大风险 / significant risks;
- 有关成本的信息; 以及有关产品主要特点、特色、权利、条款、条件及义务的信息。 / information about the costs; and information about significant characteristics, features, rights, terms, conditions and obligations.

2. 公司简介 / WHO WE ARE

GFT 是一家于 2003 年 2 月 5 日在澳大利亚注册的外国公司。GFT 持有澳大利亚金融服务许可证, 并获准在澳大利亚从事外汇和衍生产品方面的交易、做市以及提供金融产品投资建议 (仅限于一般性的建议) 业务。GFT 在澳大利亚的业务运营受 ASIC 监管。

GFT was registered as a foreign company in Australia on 5 February 2003. GFT holds an AFSL and is authorized to conduct business in Australia to deal, make a market and provide financial product advice (general only) in foreign exchange and derivative products. GFT's Australian operations are regulated by ASIC.

GFT 于 1997 年 5 月开始在美国营业, 公司创始人现为现任总裁兼首席执行官 Gary L. Tilkin。GFT 为美国的一家做市商和交易商, 其监管机构为 CFTC。CFTC 负责监管 GFT 在美国的经营活动。

GFT began operating in the United States in May, 1997. The company was formed by Gary L. Tilkin, who is the current President and Chief Executive Officer. GFT operates as a market maker and a dealer in the United States and is regulated by the CFTC. The CFTC regulate GFT's operations in the United States.

3. 服务内容 / OUR SERVICES

GFT 经 ASIC 许可, 从事外汇和衍生产品方面的交易、做市以及提供金融产品投资建议 (仅限于一般性建议) 业务。

GFT is licensed by ASIC to deal, make a market and provide financial product advice (general only) in foreign exchange and derivative products.

GFT 通过其在线做市平台 “DealBook®” 提供交易和做市服务。

GFT provides dealing and market making services through its online market making, “DealBook®”, platform.

通过 GFT 进行投资须开立一个或多个交易账户, 以供 GFT 用来执行涉及即期交易合约、外汇交易合约、差价合约和点差交易之买入和卖出的交易。

An investment with GFT entails the opening of one or more Trading Accounts through which GFT will execute transactions involving the purchase and sale of Spot Contracts, Foreign Exchange Contracts, CFDs, and Spread trading.

GFT 将依据您或您的指定代理人的口头或书面指示, 以及《外币和期权账户协议》的条款及条件, 买入和卖出外汇交易合约、差价合约及点差交易。您必须阅读和签署《外币和期权账户协议》之后, 我们才会提供服务。

GFT will purchase and sell Foreign Exchange Contracts, CFD, and Spread trading at your request in accordance with oral and written instructions from you or your designated agent, pursuant to the terms of our Foreign Currency and Options Account Agreement, which you must read and execute before we will provide any services to you.

我们还将向您提供我们的 PDS, 其中详细阐明了外汇交易、差价合约交易及点差交易产品的交易风险。在通过 GFT 进行投资前, 您应该仔细分析本 FSG 和 PDS 中所述之信息。

We will also provide you with our PDS which sets out the risks of dealing in foreign exchange, CFD, and Spread trading products. You should carefully consider all information contained in this FSG and the PDS prior to investing with GFT.

4. 联系方式 / HOW YOU CAN COMMUNICATE WITH US

若成为 GFT 的客户, 并下载 GFT 的 DealBook® 软件, 您便可以在线查阅您的账户信息。您也可以电话或电子邮件的方式与我们设在美国的客户代表联系。

gft.com.au
WEB | LIVE CHAT

Once you become a customer of GFT and download GFT's DealBook® software, you will have access to your account information on-line. You will also be able speak to our representatives in the United States by telephone or communicate with them by email.

向交易台提交电话委托的说明 / Instructions for placing a telephone order with the dealing desk:

- A) 如果您希望通过电话提交外汇交易委托, 请拨打以下电话跟我们的 24 小时外汇交易台联系:
If you need to place an FX order by phone, please call our 24-hour FX dealing desk on:
- 1800 62 40 80 (澳大利亚境内) 或 61 2 9028 7500 (澳大利亚境外), 然后按 3 号键, 再按 1 号键; 或直拨美国 1 616 974 3670
1800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 3 then 1. OR dial direct to U.S. 1 616 974 3670
- B) 如果您希望通过电话提交差价合约委托, 请拨打以下电话跟我们的 24 小时差价合约交易台联系:
If you need to place a CFD order by phone, please call our 24-hour CFD dealing desk on:
- 1800 62 40 80 (澳大利亚境内) 或 61 2 9028 7500 (澳大利亚境外), 然后按 3 号键, 再按 2 号键。或直拨英国 44 20 7170 0750
1800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 3 then 2. OR dial direct to UK 44 20 7170 0750
- C) 请为接听您电话的交易员准备好如下资料:
Have ready the following information for the dealer who answers your call:
- 您的账户号码 / your account number;
 - 买入还是卖出 / whether you are buying or selling;
 - 委托数量 / the volume of your order;
 - 交易货币; 及 / the currency you wish to trade; and
 - 委托价格和委托方式 / the price at which you would like your order placed and the type of order execution.

普通客户服务和技术支持电话号码: 1 800 62 40 80 (澳大利亚境内) 或 61 2 9028 7500 (澳大利亚境外), 然后按 1 号键; 或直拨美国电话 1 616 956 9273。另外, 若要发送电子邮件, 请登录: <http://www.gft.com.au/contact/>。
The general Customer Service and Technical Support telephone number is: 1 800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 1 OR dial U.S. 1 616 956 9273. Also, to send an e-mail, go to our web site contact page: <http://www.gft.com.au/contact/>.

5. 服务费计费方式: 服务费、成本及其他相关费用 / HOW WE CHARGE YOU FOR PROVIDING OUR SERVICES: OUR FEES, COSTS AND EXPENSES

A. 手续费 / Processing Fees

Global Forex Trading 不收取交易账户开户或销户费、月费或取款手续费 (要求电汇或隔夜支票的除外)。GFT 对交易软件 DealBook® 提供 30 天的免费试用期。如果您需要从您的账户中取款, 并申请由我们电汇给您, 我们将从您的交易账户中扣取 5 澳元 (澳大利亚境内) 或 25 澳元 (澳大利亚境外) 的银行手续费。对于所有退回的支票, 我们将从您的账户扣取 25 美元的手续费。您可以查阅附表一中其他基准货币的收费标准。

Global Forex Trading charges no fees for opening or closing trading accounts, monthly maintenance, or withdrawing funds unless a wire transfer or overnight check it requested. GFT offers 30 day free trials of DealBook®, our dealing software. If you choose to withdraw funds from your account and would like them sent to you via wire transfer, a bank fee of \$5AUD (within the Australia) and \$25.00AUD (outside Australia) will be deducted from your trading account. For all returned checks, a fee of USD25.00 will be deducted from your trading account. You may view the fee schedule for other base currencies on Exhibit A.

B. 初始保证金存款 / Initial Margin Deposit

开设交易账户前, 您须向我们存入一笔初始保证金。无最低初始保证金存款, 我们将不予开设交易账户。对于初始保证金存款额不低于 2,500 美元 / 3,500 澳元的账户, GFT 一般要求在建仓时, 账户内始终保有等同合约价值的 1% 到 5% 的保证金。对于初始保证金存款低于 2,500 美元 / 3,500 澳元的账户, GFT 要求在建仓时, 账户内始终保有合约价值 0.25% 的保证金。对初始保证金存款金额的要求可能不时变更 (详见手续费支付标准: <http://www.gft.com.au/documents/chinese-simp/fee-schedule.pdf>), 您可以查阅附表一中其他基准货币的收费标准。

(备注: GFT 完全可自行提高保证金存款金额要求, 以确保能够应对与您持有之头寸有关的风险。)
You must make an Initial Margin deposit with us when you open your Trading Account. No Trading Accounts will be accepted without the minimum Initial Margin deposit. For accounts funded with an initial deposit amount equal to or greater than \$2,500 USD/\$3500 AUD, GFT will generally require between one and five percent margin on contract value be maintained at all times a position is opened. For accounts funded with an initial deposit less than \$2,500 USD/\$3500 AUD, GFT will require ¼% margin on contract value be maintained at all times a position is open. The Initial Margin deposit may vary from time to time (please see the Processing Fees: <http://www.gft.com.au/documents/chinese-simp/fee-schedule.pdf>.) You may view the fee schedule for other base currencies on Exhibit A. Please note that GFT has an absolute discretion to increase any margin requirement. This is to ensure that GFT can ensure it addresses any risks that may arise in relation to your positions.

对您交易账户中的款额, GFT 不支付任何利息。
GFT will not pay you any interest on the amount in your Trading Account.

C. 停用账户费 / Inactive Account Fees

若您的交易账户在 60 天或更长时间内未进行任何交易, 则视为停用账户。对于停用账户, 我们将收取每月 95 澳元的账户停用费。Base 10 账户的停用费为 32 澳元。您可以浏览附表一中其他基准货币的收费标准。

Your Trading Account will be deemed inactive if no trading activity has occurred for a period of 60 days or more. A monthly inactivity fee of \$95 AUD will be charged to an inactive account. Base 10 accounts will be charged an inactivity fee of \$32 AUD. You may view the fee schedule for other base currencies on Exhibit A.

D. 自动借记账户 / Account Subject to Automatic Debiting

您须负责支付任何基于您与 GFT 之间的关系而发生的费用。您的交易账户将按照约束您与 GFT 之间关系的条款及条件自动借记上述未支付或结算的费用。其他服务费用和成本（如电汇费）将从您的账户中扣除。一经签署《外币账户协议》，即表示您同意向 GFT 支付其为维护您的交易账户而发生的全部合理费用。该等合理费用包括但不限于本 FSG 中载明的各项费用。必要时，GFT 可根据其正常运行的需要增加新的收费项目。您可以在 GFT 的因特网服务器上随时查看该等费用的公告，以更新本 FSG 中所载的信息。

You are responsible for the payment of all fees to GFT arising out of your relationship with GFT. Your Trading Account will be automatically debited the amount of such fees that are not settled or paid as required, by the terms and conditions governing your relationship with GFT. Additional fees and costs for services such as wire transfers will be charged to your account. You agree, by entering into the Foreign Currency Account Agreement to pay all reasonable fees incurred by GFT to maintain your Trading Account. This is true of all fees including, but not limited to, the fees set out in this FSG. GFT may, on occasion, initiate new fees, as they become necessary to the proper functioning of GFT. Notice of such fees will be posted on GFT's Internet Server accessible by you at any time, which will update the information contained in this FSG.

E. 账户负余额 / Negative Account Balances

为稳定您的交易账户，可能需要进行很多交易，而该等交易导致的服务费可能会超出您交易账户的价值/资产。在这种情况下，您有责任在指定时间内支付该等费用。如果您未能按期支付该等费用，我们可亏本出售您的资产以偿付该等费用。此外，如果您交易账户中保有的款额不足以弥补损失金额、服务费和其他费用，您必须在至多 48 小时之内弥补您账户的负余额，否则将可能被起诉，并须支付为追讨该等款项而产生的诉讼费及律师费。Numerous transactions maybe required to stabilize your Trading Account and such transactions may result in fees that overtake the value/assets of your Trading Account. Should such an event occur, you are responsible for paying such fees within a designated period of time. Failure to satisfy this requirement may result in your assets being traded at a loss to cover such fees. Further, where funds maintained in your Trading Account are insufficient to meet losses, fees and other charges you will be required to bring your account to a zero balance, at least, within forty eight (48) hours after the occurrence or you will be subject to legal proceedings and the court and legal fees to recover these monies.

F. 实质性成本 / Substantial Costs

尽管通过 GFT 买卖货币或期权无须支付佣金，但会产生交易商点差。GFT 的报酬来自其作为货币交易商的活动收入，包括从买入、卖出、兑换和持有货币所得到的收益，以及客户存入资金所产生的利息和展期费用。这些费用可能是，并且经常是实质性的。因此，您的交易账户必须赚取实质性的交易利润以避免因该等费用而导致资产贬值。您应该仔细考量，仅交易商点差一项成本就可能对您交易账户的赢利能力造成负面影响。您将负责承担 GFT 为维护您的交易账户而产生的任何费用、损失、佣金和服务费。交易商点差实质上就是 GFT 作为交易商报出的买入价和卖出价之间的差额。交易商可能从整个或部分交易商点差中获利，交易商点差可以在任何时候通过比较 GFT 报出的买入和卖出价之差计算得出。

When trading currency or options interests with GFT, although no commissions are charged, Dealer Spreads are incurred. GFT is compensated **by revenues from its activities** as a currency dealer, including proceeds from buying, selling, converting, as well as holding currencies and interest on deposited funds and rollover fees. These fees may be, and often are, substantial. Accordingly, your Trading Account must earn substantial trading profits to avoid depletion of assets due to such fees. You should carefully consider that Dealer Spreads alone may negatively impact the profitability of your Trading Account. You will be responsible for bearing any expenses, losses, commissions, and fees that result from GFT maintaining your Trading Account. The Dealer Spread is essentially the difference between the buy and sell price quoted by GFT as Dealer. The Dealer may profit from part or all of the Dealer Spread, which can be calculated at any given time by you by comparing the bid and offer prices quoted by GFT.

比如，GFT 给其所有客户的 EUR/USD 当前报价是 1.910/1.1913。客户甲愿以 1.1913 的价格买入 100,000 EUR/USD。客户乙愿以 1.1910 的价格卖出 100,000 EUR/USD。当甲乙客户同时通过 GFT 买入和卖出时，作为做市商的 GFT 即通过以 1.1913 卖出给一个客户，并以 1.1910 从另一个客户手中买入而获得 3 个基点。

For example, GFT currently quotes an exchange rate of EUR/USD 1.910/1.1913 to all of its clients. Client A wishes to buy 100,000 EUR/USD at the price of 1.1913. Client B wishes to sell 100,000 EUR/USD at the price of 1.1910. When both clients buy and sell GFT, as the market maker, sells to one client at 1.1913 and buys from another client at 1.1910 making 3 pips on the spread.

G. 服务费争议 / Fee Disputes

如对服务费有任何异议，必须在该费用发生后的五 (5) 个日历日内通知我们，以免丧失对该等费用提出异议的权利。/ All disputes over fees must be brought to our attention within five (5) calendar days of the fee's origination to avoid losing the right to dispute such fees.

H. 可留置账户 / Account Subject to Lien

您交易账户内的资金及货币头寸将作为抵押物，以对您应支付给 GFT 的任何款额提供担保。这意味着 GFT 有权使用您交易账户上的资产来偿付您对 GFT 的任何未偿债务。/ The funds and currency positions in your Trading Account will act as collateral to give GFT security for any amounts due by you to GFT. This means that GFT has the right to use the assets in your Trading Account to satisfy any outstanding liability to GFT.

I. 佣金和其他收益 / Commissions & Other Benefits

通过 GFT 交易货币权益无须支付佣金。GFT 的报酬来自其作为货币交易商的活动收入，包括从买入、卖出、兑换和持有货币所得到的收益，以及客户存入资金所产生的利息和展期费用。GFT 还会从其做市活动中产生的交易商点差获得收入。这意味着 GFT 将基于持有货币头寸来冲抵您所持有的头寸而从买入价和卖出价之间的点差中获得收入。交易商

点差可在任何时候通过买入价和卖出价之间的差额计算得出。具体计算实例请参见上述第 F 节。

When trading currency interests with GFT, no commissions are charged. GFT is compensated by revenues from its activities as a currency dealer, including proceeds from buying, selling, converting, as well as holding currencies and interest on deposited funds and rollover fees. GFT will also receive income from its market making activities based on Dealer Spreads. This means that GFT will receive income from the spread between the bid and offer, and based on taking currency positions to offset the positions taken by you. The Dealer Spreads can be calculated at any one time by the difference between the bid and offer. Refer to section F above for a worked dollar example.

此外，GFT 还将从您存入的资金中取得利息收入。

GFT also derives a benefit from the funds deposited by you because it earns interest on those funds.

J. 中介报酬 / Referring Party Payments

向 GFT 推荐客户的中介将由 GFT 使用其交易收入支付报酬。中介的报酬金额将按该中介推荐之客户的交易量确定，意即中介报酬将依据向 GFT 推荐之客户所进行交易的每手数额或点差幅度进行计算。

A Referring Party who refers a customer to GFT will be compensated by GFT from its income received on trading. Compensation paid to a Referring Party is based on the volume of the Referring Party's client trading volume. This means that compensation is based on either an amount per round term lot or pip mark-up for trades made by the Customer who has been referred to GFT.

该报酬通常由 GFT 和中介个别协商确定，并按月交易量进行支付。例如，若与中介约定每手交易佣金为 5 美元，若交易 50 手，支付给中介的报酬则为 250 美元。

This compensation is usually individually negotiated between GFT and each Referring Party and is based on monthly trading volume. For example, if a commission of USD5.00 per round turn is agreed to with the Referring Party and the number of round turns is 50, the payment to the Referring Party would be USD250.

K. 代表报酬 / Payments of Representatives

GFT 的代表可按上述第 10 节所述得到 GFT 所赚得收入的一部分。

A GFT representative may receive a portion of the income earned by GFT as described under section 10 above.

L. 第三方费用 / Third Party Fees

除上述规定者外，GFT 或会就以下事项向第三方支付费用，包括但不限于软件、图表、数据馈送服务，而其他 GFT 订金可能会选择在正常营业过程中提供。

GFT may pay fees to third parties, in addition to those set forth above, for services including, but not limited to software, charting, data feeds, and other subscriptions GFT may choose to offer in the regular course of business.

6. 投诉处理 / HOW WE DEAL WITH YOUR COMPLAINTS

需要投诉时，请致电客户服务部，电话号码为：1 800 62 40 80（澳大利亚境内）或 61 2 9028 7500（澳大利亚境外），然后按 1 号键；或者拨打美国电话 1 616 956 9273。您也可以点击以下链接，通过我们的网站与我们联系：<http://www.gft.com.au/contact/>

If you wish to make a complaint about our services please contact the Customer Service Department at 1 800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 1 OR dial U.S. 1 616 956 9273. You can also reach us thru our website at the following link: <http://www.gft.com.au/contact/>

我们将按照下述规定处理您的投诉。 / We will deal with your complaint as in the manner set out below.

- 您可以书面或口头向我们的代表投诉。You can make a complaint in writing or by speaking to one of our representatives.
- 收到您的投诉后，我们将通过既定的政策和程序，将您的投诉立即告知我们的合规主管。我们的代表将在此阶段设法解决您投诉的问题。When we receive a complaint from you, we have policies and procedures in place to ensure that your complaint will be immediately notified to our Compliance Officer. Our representative will try to resolve your complaint at this stage.
- 任何情况下，我们均会努力在您提交投诉之日起的 14 日内妥善解决您投诉的问题。如果您投诉的问题未能在此期限内解决，我们将书面说明原因，并告知我们预计能够解决您的投诉的期限。In all circumstances, we will attempt to resolve your complaint within 14 days from the date you make the complaint. If your complaint cannot be resolved within this timeframe we will provide you with a written explanation and an estimated timeframe of when we anticipate being able to resolve your complaint.
- 如果收到您投诉的我方代表未能以令双方满意的方式解决投诉问题，我们将安排合规部门有关人员予以解决。If the representative to whom you make the complaint is unable to resolve the complaint to the satisfaction of both parties, an officer of our Compliance Department will attempt to resolve the complaint with you.
- 如果您对我们投诉解决程序的结果不满意，您有权使用 GFT 的外部争议解决途径：If you are not satisfied with the outcome of our complaint resolution procedures, you have the right to contact GFT's external dispute resolution scheme:

金融监察局 (FOS)

GPO Box 3
Melbourne VIC 3001
(电话: 1300 78 08 08)

金融监察局 ("FOS") 将免费提供有关服务。

FOS 将为各方磋商和谈判提供条件。在此阶段，将澄清争议问题。

The Financial Ombudsman Service (FOS)

GPO Box 3
Melbourne VIC 3001
(Ph 1300 78 08 08)

The Financial Ombudsman Service ("FOS") provides services free of charge. FOS will facilitate discussions and negotiations between the parties. At this stage the issues that are in dispute will be identified.

若双方未能通过友好协商解决争议，FOS 将对此进行调解。调解人将努力帮助双方解决争议，并达成和解协议。
If the dispute cannot be resolved through discussion, FOS will facilitate conciliation between the parties. The conciliator will attempt to assist the parties to settle the dispute and agree on the terms of such settlement.

经调解亦未能达成和解的，FOS 将指定独立裁判员依据相关法律以及公平合理的原则作出裁决。作为 FOS 的成员，裁判员作出的任何裁决对 GFT 均具有约束力。而裁判员的裁决仅在您同意后才对您具有约束力。

If conciliation does not facilitate settlement of the dispute, FOS will appoint an independent adjudicator to make a decision taking into account relevant law, fairness and reasonableness. As a member of FOS, any decision by the adjudicator is binding on GFT. The adjudicator's decision will only be binding on you if you agree.

您也可以拨打 ASIC 的免费咨询热线 1300 300 630，咨询投诉权问题或直接投诉。
You can also call the ASIC freecall Infoline on 1300 300 630 to find out about your rights to complain or to make a complaint.

7. 破产时较低的保障/ LESSER PROTECTION IN BANKRUPTCY

GFT 澳大利亚分公司所有客户的款项均独立于 GFT 的自有资金。开设独立信托账户旨在确保在出现不太可能发生的 GFT 资不抵债时保护 GFT 客户的款项。

All GFT's Australian branch clients' moneys are segregated from GFT's own funds. The purpose of the segregated trust account is to protect GFT's clients' moneys in the unlikely event of GFT's insolvency.

但是，您的款项可能与其他 GFT 客户的款项共存入一个或多个独立信托账户中。若出现不太可能发生的任何独立信托账户发生亏损且 GFT 又出现资不抵债的情况，您必须明白您会在 GFT 欠付您的款项余额方面成为 GFT 的无担保债权人。

However, your moneys may be co-mingled in one or more segregated trust accounts with moneys of other GFT clients. In the unlikely event that there is a deficit in any segregated trust account and GFT becomes insolvent, you must be aware that you could then become an unsecured creditor of GFT in relation to the balance of the moneys owing to you

此外，GFT 还在与澳大利亚对客户资金监管法律制度不尽相同的其它国家内从事业务运营并持有客户资金。如果澳大利亚客户的任何资金成为其他国家破产法律的处理标的，该等法律的适用可能导致澳大利亚客户资金受到的保障程度降低，包括可能使您在 GFT 欠付您的款项方面成为 GFT 的无担保债权人。

In addition, GFT does business and holds client funds in other countries where the laws governing client funds are different from those in Australia. To the extent that any funds of Australian clients become subject to the insolvency laws of another country, the application of these laws could result in lesser protection for the funds of Australian clients, including the result that you could become an unsecured creditor of GFT in relation to the moneys owing to you.

8. 与我们提供的服务有关的联营合作关系/ DETAILS OF OUR ASSOCIATIONS AND RELATIONSHIPS THAT ARE RELEVANT TO THE SERVICES WE PROVIDE TO YOU

Global *Forex* *Trading*
Global Futures & Forex, Ltd 与 Global Forex Trading 于 2001 年 1 月 10 日在美国合并，Global Forex Trading 成为 Global Futures & Forex, Ltd. 的分公司。Global Forex Trading 在美国以经纪商和货币交易商的身份开展业务。

Global *Forex* *Trading*
In the United States, Global Futures & Forex, Ltd merged with Global Forex Trading on 10 January 2001. Global Forex Trading then became a division of Global Futures & Forex, Ltd. Global Forex Trading acts as a broker and currency dealer in the United States.

9. 专业弥偿保险/ PROFESSIONAL INDEMNITY INSURANCE

GFT 根据《公司法（2001 年）》第 912B 节拥有专业弥偿保险。专业弥偿保险承担与当前和过去员工的行为有关的索赔。

GFT has professional indemnity insurance in accordance with section 912B of the Corporations Act 2001. The professional indemnity insurance covers claims pertaining to conduct of current and past employees.

10. 隐私权/ YOUR PRIVACY

隐私信息的披露： 在我们的《产品披露说明书》和《澳大利亚客户协议》中，您可以查询到更多有关我们隐私政策的信息。

Disclosure: You may find more information about our privacy policy in our Product Disclosure Statement and the Australian Client Agreement.

您确认： / You acknowledge that:

1. 我们将通过以下途径收集您的非公开个人信息： / We collect non-public, personal information about you from the following sources:
 - 您提交的申请书、表格或其他文件； / Information we receive from you on applications, forms or otherwise;
 - 您与我们、我们关联机构或其他机构的交易；以及 / Information about your transactions with us, our affiliates or others; and
 - 其他经纪公司。 / Information we receive from other brokerage firms.
2. 如果您不提供所要求的全部信息，GFT 可能无法为您提供金融服务或产品。 / If you do not provide all the information requested, GFT may not be able to provide financial services or products to you.
3. 您可以联系我们客户服务部门，了解我们所持有的有关您个人的相关信息，联系电话为：1 800 62 40 80（澳大利亚境内）或 61 2 9028 7500（澳大利亚境外），然后按 1 号键；或者直拨美国电话 1 616 956 9273。您也可以点击以下链接，通过我们的网站联系我们：<http://www.gft.com.au/contact/>。
You may gain access to any personal information GFT holds about you by contacting the Customer Service department at 1 800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 1 OR dial U.S.1 616 956 9273. You can also reach us thru our website at the following link: <http://www.gft.com.au/contact/>.

4. 除法律允许的外，我们不会将有关我们现有或以前客户的任何非公开个人信息泄露给任何人。 / We do not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law.
5. 我们实行有安全操作流程，以确保对您的非公开个人信息严格保密。 / We maintain security practices and procedures to ensure the confidentiality of your nonpublic personal information.
6. 我们可将收集的所有信息（如上所述）提供给代为开展市场营销服务的公司，或其他与我们签订联合营销安排的金融机构。 / We may disclose all of the information we collect, as described above, to companies that perform marketing services on our behalf or to other financial institutions with which we have joint marketing arrangements.
7. 在公司内部，对于因管理个人账户或行使有关账户权利而需知晓客户非公开个人信息的员工，我们将授权其查阅此类信息。我们实行有安全操作流程，以确保对您的非公开个人信息严格保密。 / On an internal basis, we authorize access to non-public, personal information about you to those employees who need to know that information to service your account or to enforce our rights relating to your account. We maintain security practices and procedures to ensure the confidence of your non-public, personal information.

同意书： 您同意： / **Consent:** You agree that:

1. GFT 可以同下列个人或组织交换您的有关信息： / GFT may exchange information about you with:
 - (a) 任何相关的 GFT 公司法人，无论其位于澳大利亚境内还是外国司法辖区； Any related body corporate of GFT whether they are located in Australia or in a foreign jurisdiction;
 - (b) GFT 的任何雇员、代理、承包商或其他服务提供商，包括与 GFT 的业务重组或转让有关的任何实体。 / Any employees, agents, contractor or other service providers of GFT including any entity involved in any restructure or transfer of GFT's business;
2. GFT 或上述第 1 条中所述的个人或组织（视具体情形而定）可以使用您的信息以： / GFT or (as applicable) the people or organizations described in 1 above, may use your information to:
 - (a) 进一步向您提供有关 GFT 提供之任何服务或产品的信息； / Provide you with further information about any service or product provided by GFT;
 - (b) 按照《澳大利亚客户协议》进行市场调研或与您联系； / Either conduct market research or to contact you as provided for under the Australian Client Agreement
 - (c) 遵守任何监管或法律披露要求。 / Comply with any regulatory or legal disclosure requirements

附表一 / EXHIBIT A

收费标准 / FEE SCHEDULE

Global Forex Trading 不收取交易账户开户或销户费、月费或取款手续费（要求电汇或隔夜支票的除外）。

Global Forex Trading charges no fees for opening or closing trading accounts, monthly maintenance or withdrawing funds unless a wire transfer or overnight check is requested.

停用账户：如果某个账户在 60 天或更长时间内没有进行任何交易，则将被视为停用账户。有关收费标准如下。

Inactive Accounts: An account will be deemed inactive if no trading activity has occurred for a period of 60 days or more. Please see below for our fee schedule.

手续费： / PROCESSING FEES:

请点击下述链接，查看我们的手续费收取标准：

<http://www.gft.com.au/documents/chinese-simp/fee-schedule.pdf>

Please click on the following link to view a schedule of our processing fees:

<http://www.gft.com.au/documents/chinese-simp/fee-schedule.pdf>

如有任何疑问，敬请惠电至：1 800 62 40 80（澳大利亚境内）或 61 2 9028 7500（澳大利亚境外），然后按 1 号键；或直拨美国电话 1 616 956 9273。您也可点击以下链接，通过我们的网站联系我们：<http://www.gft.com.au/contact/>

If you have any questions, please feel free to contact us by phone at 1 800 62 40 80 (within Australia) or 61 2 9028 7500 (outside Australia) and press 1 OR dial U.S. 1 616 956 9273. You can also reach us thru our website at the following link: <http://www.gft.com.au/contact/>

备注：所有服务费用和收费均可能变更，恕不另行通知。GFT 每季度发布一次新的收费标准。

Note: All fees and charges are subject to change without notice. GFT publishes a new fee schedule each quarter.