

# Financial Services Guide

Version 2.0 · Issued 5 June 2026

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<b>AFSL</b>	286 354
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<b>Website</b>	www.fpmarkets.com.au

# Purpose and Contents of this Financial Services Guide (FSG)

This FSG details the financial services that First Prudential Markets Pty Ltd (FP Markets) offers to assist you in making an informed decision about whether to use our services.

The FSG will explain:

- 1 Who We Are
- 2 How You Can Contact Us and Provide Instructions to Us
- 3 What Services Are We Authorised to Provide
- 4 Nature of Advice
- 5 Who Do We Act For
- 6 How We Are Remunerated
- 7 Conflicts of Interest and Associations
- 8 Compensation Arrangements
- 9 Dispute Resolution

This FSG contains only general information about the products and services we offer. If you still have questions after reading this FSG, please contact us directly.

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## Other Disclosure Documents We May Give You

FP Markets will provide clients with documentation to facilitate transactions including Client Agreements, terms and conditions, and confirmations.

Before issuing a financial product to a retail client, FP Markets will provide a Product Disclosure Statement (PDS). The PDS contains important information about the relevant product's features, benefits, significant risks, and fees and charges. You should read the PDS carefully before deciding whether to acquire the product.

FP Markets is responsible for the financial services it provides to you and for the content and distribution of this FSG.

## 1 Who We Are

First Prudential Markets Pty Ltd is an Australian registered company and holder of Australian Financial Services Licence (AFSL) No. 286 354, issued by the Australian Securities and Investments Commission (ASIC).

FP Markets provides retail and wholesale clients with the ability to trade over-the-counter (OTC) derivatives, including Contracts for Difference (CFDs), across a range of underlying assets including foreign exchange, equity indices, commodities and equities.

FP Markets does not act as an authorised representative of any other licensee in connection with the services or products it provides.

## 2 How You Can Contact Us and Provide Instructions to Us

<b>Company Name</b>	First Prudential Markets Pty Ltd
<b>ACN</b>	112 600 281
<b>AFSL</b>	286 354
<b>Address</b>	Level 5, 10 Bridge Street, Sydney NSW 2000
<b>Website</b>	<a href="http://www.fpmarkets.com.au">www.fpmarkets.com.au</a>
<b>Email</b>	<a href="mailto:support@fpmarkets.com.au">support@fpmarkets.com.au</a>
<b>Phone</b>	(02) 8252 6800

You may provide instructions to FP Markets in any of the following ways:

- Electronically via the FP Markets Client Portal or one of FP Markets' trading platforms (such as MetaTrader 4, MetaTrader 5, and Iress)
- By telephone on 02 8252 6899
- By email to [\*\*support@fpmarkets.com.au\*\*](mailto:support@fpmarkets.com.au)
- Via live chat on our website at [\*\*www.fpmarkets.com.au\*\*](http://www.fpmarkets.com.au).

Please note that instructions provided by telephone or email may be subject to verification procedures. FP Markets is not liable for delays arising from instructions that cannot be promptly verified.

### 3 What Services Are We Authorised to Provide

Our AFSL authorises us to provide you with the following range of financial services:

**(a) Provide financial product advice in relation to:**

- Derivatives; and
- Foreign exchange contracts.

**(b) Deal by issuing, applying for, acquiring, varying, or disposing of:**

- Derivatives; and
- Foreign exchange contracts.

**(c) Make a market for the following financial products:**

- Foreign exchange contracts; and
- Derivatives.

FP Markets is the issuer of the OTC derivative products that we provide, and we act as principal when you trade these products with us.

Our AFSL authorises us to provide these services and products to both retail and wholesale clients (within the definition contained in the Corporations Act).

## 4 Nature of Advice

**FP Markets does not provide personal advice.** 'Personal advice' is financial product advice where the adviser has considered one or more of the client's objectives, financial situation or needs, or where a reasonable person would expect them to have done so. All other financial product advice is '**general advice**'.

Where FP Markets provides general advice, for example through market commentary or research reports relating to particular instruments or asset classes, that advice does not take into account your personal objectives, financial situation or needs. Before acting on any general advice provided by FP Markets, you should consider whether it is appropriate having regard to your own circumstances. If you are unsure, you should seek advice from an independent financial adviser.

You should carefully consider your own circumstances and read the relevant PDS before making a decision about whether our financial products are right for you.

FP Markets is responsible for ensuring that any general advice is provided in accordance with its obligations under its AFSL and the Corporations Act 2001.

## 5 Who Do We Act For?

When providing financial products on an over-the-counter basis, FP Markets acts as principal in all transactions with you. This means FP Markets is the counterparty to every transaction you enter into – you are contracting directly with FP Markets.

FP Markets does not act as a broker, agent or representative of any other licensee in relation to the services or products it provides. FP Markets is solely responsible for the financial services provided to you under its Australian Financial Services Licence (No. 286 354).

## 6 How We Are Remunerated

FP Markets is remunerated through the fees and charges described below. Because the exact amount will depend on your trading activity and account type, precise figures are not ascertainable at the time this FSG is given. You may request full particulars of any remuneration at any time after receiving this FSG and before any financial service is provided to you by contacting [compliance@fpmarkets.com.au](mailto:compliance@fpmarkets.com.au). Current rates are also published on our website and in the relevant PDS.

### Direct Market Access Model (Exchange Traded Products on Iress and Mottai)

Fee Type	Iress ViewPoint Essential	Iress ViewPoint	Mottai
<b>Monthly platform fee</b>	Free	AUD 85.00 AUD per month inc. GST. Waived where AUD 150.00 or more in brokerage is generated in that calendar month	AUD 125.00 per month inc. GST. AUD 100.00 waived where AUD 200.00 or more in brokerage is generated in that calendar month
<b>ASX Brokerage (Retail)</b>	0.06% of trade value, minimum AUD 6.00	0.06% of trade value, minimum AUD 6.00	0.06% of trade value, minimum AUD 6.00
<b>ASX Live Data (optional)</b>	AUD 25.00 per month inc. GST. Waived where AUD 50 or more in brokerage is generated in that calendar month	AUD 25.00 per month inc. GST. Waived where AUD 50.00 or more in brokerage is generated in that calendar month	Mandatory — included in AUD 125.00 platform fee
<b>ASX Delayed Data (optional)</b>	Free	Free	N/A
<b>Overnight financing</b>	RBA Rate + 3.0% per annum	RBA Rate + 3.0% per annum	RBA Rate + 3.0% per annum

**Brokerage:** Brokerage is charged on each DMA trade as a percentage of the trade value or the minimum fee, whichever is greater. It is the primary way FP Markets is remunerated on DMA accounts.

**Overnight financing:** A daily charge or credit applied to positions held open overnight, calculated based on the RBA cash rate plus a spread of 3.0% per annum applied by FP Markets. Long positions are generally subject to a financing charge; short positions may attract a credit or charge depending on the prevailing rate.

**Example:** On a AUD10,000 trade in BHP shares at a brokerage rate of 0.06%, the brokerage cost would be AUD 6.00.

\* All indices, commodities, FX and cryptocurrency symbols offered on Iress and Mottai do not operate under the Direct Market Access model and are subject to the fees below.

\*\* International brokerage fees can be found on our website.

## Non-Direct Market Access — MetaTrader, cTrader, TradingView\*

MetaTrader, cTrader, and TradingView are provided at no platform cost, with access to both Standard and Raw accounts. Indices, commodities, FX and cryptocurrency symbols traded on Iress and Mottai operate under a standard account and will also be subject to the relevant platform fees above.

Fee Type	Standard Accounts	Raw Accounts
<b>Spread</b>	From 1.0 pip / point depending on instrument	From 0.0 pips / points depending on instrument
<b>Commission</b>	Nil – remuneration embedded in spread	From AUD 3.50 per lot per side for FX CFDs. Rates vary by instrument.
<b>Overnight financing/swap</b>	Rates vary by instrument	Rates vary by instrument

**Spread:** The difference between the bid (sell) and ask (buy) price. FP Markets' remuneration on Standard accounts is embedded in the spread.

**Commission:** A fixed fee charged per lot per side on Raw accounts in addition to the spread. Current rates are published on our website and in the PDS.

**Overnight financing/swap:** A daily charge or credit on positions held overnight, calculated based on a benchmark interbank rate plus or minus a spread applied by FP Markets. For certain instruments the rate may be tripled on the Wednesday-Thursday or Friday rollover to account for the weekend. Refer to the PDS or website for details.

**Example:** On a Standard account, a 1 lot AUD/USD trade with a spread of 1.0 pip costs approximately AUD 10.00. On a Raw account, the same trade with a spread of 0.1 pips plus a commission of AUD 3.50 per side (AUD 7.00 round turn) costs approximately AUD 8.00 in total.

**Rollover adjustment:** A cash adjustment is applied when that contract expires to reflect the price difference between the old and new contract. This adjustment is cost-neutral to FP Markets.

\* All indices, commodities, FX and cryptocurrency symbols offered on Iress and Mottai do not operate under the Direct Market Access model.

## **Fees Applicable to All Accounts**

**Dividend adjustment:** Long positions credited and short positions debited on ex-dividend date. Rates reflect market conditions and may be adjusted for withholding tax on single stock CFDs.

**Debit/Credit card payments:** Your bank or payment provider may charge fees for deposits or withdrawals. You should check with your provider regarding any applicable charges before transacting.

Full details of all fees and charges applicable to our financial products are set out in the relevant PDS, available on our website at **[www.fpmarkets.com.au](http://www.fpmarkets.com.au)**.

### **Interest on Client Money**

FP Markets retains interest earned on segregated client money at prevailing bank deposit rates. Clients do not receive interest. This is a financial benefit to FP Markets.

### **Employee Remuneration**

FP Markets' employees and directors are remunerated by salary and other employee benefits and may be eligible for a discretionary bonus based on a combination of financial and non-financial performance factors.

### **Third-Party Referrals**

Where a third-party Introducing Broker or referrer has referred you to FP Markets, we may pay that party a share of our revenue attributable to your trading activity. Such payments are made from FP Markets' own revenue and do not represent an additional charge to you. Where the conflicted remuneration provisions of the Corporations Act 2001 apply, FP Markets will only make such payments with your prior written consent. You are entitled to request full particulars of any referral payments at any time after receiving this FSG and before any financial service is provided to you by contacting **[compliance@fpmarkets.com.au](mailto:compliance@fpmarkets.com.au)**.

## 7 Conflicts of Interest, Associations, and Relationships

FP Markets has in place a conflicts management system which seeks to:

- Identify conflicts of interest (actual or potential);
- Control and avoid conflicts of interest; and
- Disclose conflicts of interest to clients.

FP Markets is the issuer of all financial products it offers to clients. FP Markets does not have any associations or relationships with third-party financial product issuers that might reasonably be expected to influence the financial services it provides to you.

As noted in Section 5, FP Markets acts as principal and counterparty in all transactions with clients. Clients should be aware of this when acquiring our financial services.

## 8 Compensation Arrangements

First Prudential Markets has professional indemnity insurance that complies with section 912B of the Corporations Act 2001. This professional indemnity insurance covers claims in relation to the conduct of current employees and past employees.

## 9 Dispute Resolution

FP Markets has an internal dispute resolution process in place to resolve any complaints or concerns you may have quickly and fairly. Any complaints or concerns should be directed to the compliance team in writing or by sending an email to [compliance@fpmarkets.com.au](mailto:compliance@fpmarkets.com.au). Our dispute resolution policy is available on our website at [www.fpmarkets.com.au](http://www.fpmarkets.com.au). FP Markets will endeavour to resolve your complaint immediately. If this is not possible, we will aim to resolve the problem within 30 calendar days and provide you with our decision, and the reasons on which it is based.

If an issue has not been resolved to your satisfaction, you can lodge a complaint with the Australian Financial Complaints Authority (AFCA). You may also make a complaint via the ASIC free call info line on 1300 300 630.

<b>Organisation</b>	Australian Financial Complaints Authority (AFCA)
<b>Mail</b>	GPO Box 3, Melbourne VIC 3001
<b>Toll Free</b>	1800 931 678
<b>Website</b>	<a href="http://www.afca.org.au">www.afca.org.au</a>
<b>Email</b>	<a href="mailto:info@afca.org.au">info@afca.org.au</a>

You may also choose to refer the matter to the Australian Securities and Investments Commission (ASIC). ASIC may be contacted on their free call Infoline 1300 300 630.