

GO Markets Pty Ltd

Client Referral Guidelines

Version Date: July 2022

GO Markets Pty Ltd (MU) is a registered Global Business Company (Company No. 170969) and is authorised and regulated by the Financial Services Commission (FSC) of Mauritius as an Investment Dealer (Full Service Dealer, excluding Underwriting) (Licence number GB19024896).

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GO MARKETS

first choice for trading

About GO Markets Pty Ltd (“GO Markets”)

GO Markets Pty Ltd (MU) (“GO Markets”) is as of the 20th of February 2020 registered under Global Business Company Category and holds licence number GB19024896 as an Investment Dealer (Full Service Dealer, excluding Underwriting) from the Financial Securities Commission, Mauritius.

Objectives of the Client Referral Guidelines

Referral Program is governed by regulations, legislations, rules, of any regulated market or exchange to which GO Markets and Referrers are or may be subject to from time to time.

GO Markets have created this guideline to emphasize its regulatory obligations which may be subject on occasion when we are engaging with Referrers, and to come up with a framework on what are our expectations with Referrers to allow us to comply with these obligations.

These guidelines outline what GO Markets reasonably believe will help Referrers comply with the rules but are not exhaustive and do not constitute advice of any kind.

These guidelines outline a framework for how it expects its Referrers to assist it to comply with these obligations.

Referrers should do their own research on the topic and seek individual professional advice if they need to ensure that what they do is right for their specific circumstances.

These guidelines are to be read in conjunction with the terms and conditions outlined in the Referral Agreement.

Compliance with Rules

GO Markets is a regulated broker and regulation governs all our activities, therefore we have the upmost obligation to treat our client fairly, efficiently, and honestly including the relationships we have with third parties such as Referrers. Below are expected from referrers:

- Referrers to abide with the rules and any other applicable legislation while engaging as Referrers.
- Referrers are prohibited from providing financial product advice unless they are licensed to do so.
- Referrers to ensure that their referrals do not breach any referral selling prohibitions as may be applicable in any jurisdictions they operate.
- Referrers confirm that GO Markets have not facilitated unlicensed conduct by Referrer.
- Referrers confirm that they will not behave in a way intended to influence any prospective clients about a product.
- Referrers are prohibited from targeting persons that are not suitable for the products offered by GO Markets.
- Referrers are prohibited from breaching any Mauritian financial services licence investor protections or any financial services regulations in any other jurisdictions.
- GO Markets require Referrers to provide information on its activities and/or provide any other information to enable GO Markets to monitor and review Referrers' activities for any violations of its obligations.

Assessing Referral Applications.

When GO Markets assess a Referrer's suitability, it generally applies the same regulatory considerations that it must abide by when marketing its own products and services. If it were to accept a Referrer who had misleading content on their media channel, it would be in breach of its obligations.

Referrers must at all times be prepared to provide GO Markets with sufficient evidence for the ownership of its blog, Website/Portal, social media profile or any other platform used for performing the Services in accordance with this Agreement.

Referrers shall provide some description of the Referrer's proposed source(s) of traffic.

During the application process, the prospective Referrer should clearly mention whether the proposal is to generate traffic either from digital or offline.

If intends using digital channel for the purposes of referring traders to GO Markets, it should provide the URL of the Referrer's Website/Portal and if using offline channel, a description of offline activities operated or proposed to be operated by the Referrer for review and approval by GO Markets.

Offline traffic is recognised for the Referrer program as long as the Referrer clearly specifies this during the application process and undertakes to act in conformity with the provisions set out in these guidelines and Referral Agreement.

GO Markets reserves the right to perform any and all checks that it deems necessary when online or offline traffic is generated.

When assessing Referral applications with online digital traffic, GO Markets considers:

- The business the Referrers are engaged in
- The information on Referrers' media platform/channel and if there is any potentially misleading or deceptive information; and
- Referrers' brand/reputation in the market/industry

Based on all the documentation and information collected from the prospective Referrer, including the prospective Referrer's completed Referrer Application process, GO Markets may, at its sole and absolute discretion, either approve or reject the Referrer Application.

Approval of Referrer application will be subject to a satisfactory due diligence result.

Ongoing Monitoring

Approved Referrers will be subject to ongoing monitoring including an annual review of Referrals' media channel/platform.

If a breach of our guidelines is detected after an application has been approved, Referrals 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 Referral agreement being terminated by GO Markets.

Checklist

The below checklist serves as a guide for GO Markets, but not limited to, for reviewing Referrers' online digital traffic. Referrers to ensure that they strictly follow these guidelines.

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 licence, registration, accreditation holders are authorised to provide financial advice to clients. We suggest including a disclosure when providing factual information, e.g.:

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.

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.