



# Anti-Bribery and Corruption Policy

## 反贿赂反腐败政策



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The Anti-Bribery and Corruption Policy (“ABC Policy” or the “Policy”) outlines that FXCM Group, LLC (“FXCM” or the “Firm”) values its reputation for ethical behaviour and for financial probity and reliability. FXCM recognises that bribery and corruption are damaging to its legitimate business interests. More broadly, bribery undermines the rule of law and poses serious threats to sustained economic progress in developing and emerging economies and to the proper operation of free markets. FXCM conducts business across the globe and is committed to doing so with fairness, honesty, openness, and integrity.

反贿赂反腐败政策（“反贿赂政策”或是“政策”）概述 FXCM Group, LLC（“福汇”或“公司”）重视其在道德行为、财务诚信及可靠性方面的声誉。福汇认为贿赂和腐败损害其合法的商业利益。更广泛地说，贿赂破坏了法治，并对于发展中和新兴经济体的持续经济发展以及利伯维尔场的正常运作构成了严重威胁。福汇致力于以公平、诚实、开放和正直的方式于全球开展业务。

FXCM is therefore committed to the highest standards of compliance with financial crime law and regulation, which includes the detection and prevention of money laundering, terrorist financing, sanctions, bribery and corruption, market abuse, fraud and data breaches (including identity theft), and other criminal acts (collectively referred to as “financial crime”).

因此，福汇严格遵守金融犯罪法律与法规的最高标准，其中包括探查及预防洗钱行为、恐怖主义融资、制裁、贿赂和腐败、市场滥用、诈骗和数据泄漏（包括身份盗用）以及其他犯罪行为（统称为“金融犯罪”）。

FXCM has a zero tolerance approach to bribery and corruption and expects all Associated Persons to exhibit the same approach. FXCM is committed to implementing and enforcing effective systems and controls to counter, monitor for, and prevent bribery and corruption by:

福汇对于贿赂和贪污采取零容忍措施，并期望所有关联人员采取相同的措施。福汇致力于通过以下方式实施及执行有效的制度以打击、监视以及防止贿赂和腐败：

- **Upholding all laws relevant to countering bribery and corruption in every jurisdiction in which it operates. In particular, FXCM will uphold applicable provisions of the United Kingdom Bribery Act 2010 (“Bribery Act”), the United States Foreign and Corrupt Practices Act 1977, the Australian Criminal Code Act 1995, and the South African Prevention and Combatting of Corrupt Activities Act (2004);**  
遵守其经营地司法辖区所有打击贿赂和腐败相关法律条款。特别指出，福汇遵守英国 2010 年贿赂法（贿赂法）、美国 1997 年海外反腐败法、澳大利亚 1995 刑法典以及南非预防和打击腐败活动法（2004 年）的适用法规；
- **Setting out a clear anti-bribery and corruption policy and proportionate and effective anti-bribery and corruption procedures;**  
制定明确的反贿赂反腐败政策以及相对应和有效的反贿赂反腐败程序；
- **Carrying out appropriate due diligence on third parties that conduct business with FXCM;**  
对与福汇有业务往来的第三方机构展开合理尽职调查；
- **Training employees and other relevant persons on internal and external anti-bribery and corruption obligations so that they can recognise and avoid the use of bribery or corruption by themselves and others;**  
培训员工及其他相关人员关于内外部的反贿赂反腐败义务，使其能识别并避免自己和他人的贿赂或腐败行为；
- **Requiring employees to be vigilant and to report any suspicion of bribery or corruption, providing them with suitable channels of communication, and ensuring sensitive information is treated appropriately;**  
要求员工保持警觉及举报任何涉嫌贿赂或腐败的行为，向其提供适当的沟通渠道及确保敏感信息得到适当处理；
- **Implementing and enforcing effective systems to monitor and prevent bribery in accordance with the law;**  
依法贯彻实施有效制度以监控及阻止贿赂行为；
- **Rigorously investigating instances of alleged or confirmed bribery or corruption, notifying the Serious Fraud Office (or other relevant authority) regarding potential or confirmed instances of bribery or corruption (as appropriate), and assisting the police and other relevant authorities in any resulting prosecution; and**  
严格调查涉嫌或已确认的贿赂或腐败情况，将可能或已确认的贿赂或腐败事例（酌情）通知英国严重欺诈办公室（或其他相关机构），并协助警方及其他有关当局进行起诉；及
- **Taking a firm and vigorous action against any Associated Persons involved in bribery or corruption or who do not support anti-bribery and corruption requirements.**  
对于任何牵涉贿赂、腐败或不支持反贿赂反腐败要求的任何关联人员采取强而有力的行动。

## Applicability 适用范围

This Policy applies to all Associated Persons of FXCM. In line with the Bribery Act, an “Associated Person” is anyone who performs services for or on behalf of FXCM.

本政策适用于所有福汇关联人员。根据贿赂法，“关联人员”是指为福汇或代表福汇提供服务的任何人。

## Bribery Offences 贿赂罪

There are a number of offences under the Bribery Act, each aimed at sanctioning the provision or receipt of bribes at every stage. These offences include those relating to:

贿赂法中有许多罪行，每项罪行的目的都是在每个阶段批准提供或收受贿赂。这些罪行包括与以下有关的罪行：

- a) **Bribing another person** – Where a person offers, promises, or gives a financial or other advantage to another person for improper performance of a relevant function or activity;  
向他人行贿 – 某人为了相关职能或行为之不正当操作而提供、承诺或给予另一人经济利益或其他利益；
- b) **Being bribed by another person** – Where a person requests, agrees to receive, or accepts a financial or other advantage for improper performance of a relevant function or activity;  
收受他人贿赂 – 某人由于相关职能或行为之不正当操作而索要、同意收取或主动接受经济利益或其他利益；
- c) **Bribing a public official** – Where a person offers, promises, or gives a financial or other advantage to a “public official” with the intention of influencing the official in the performance of his or her official functions as a public official; and  
贿赂公职人员 – 某人出于影响公职人员执行公务之目的，提供、承诺或给予一名“公职人员”经济利益或其他利益；及
- d) **Failure of a commercial organisation to prevent bribery** – Where a commercial organisation will be liable to prosecution if “a person associated with it” bribes another person intending to obtain or retain business or an advantage in the conduct of business for the commercial organisation.  
商业机构未能阻止贿赂行为 – 若“某商业机构相关人员”在开展该商业机构业务时，为了获得/维持业务或利益而贿赂另一人，该机构将被起诉。

## Requirements & Compliance

### 要求及合规

All Associated Persons are prohibited from directly or indirectly:

所有关联人禁止直接或间接：

- **Offering, promising, giving, requesting, accepting, or agreeing to receive a bribe of any kind, in any form;**  
提供、承诺、给予、要求、主动接受或同意收取任何种类和形式的贿赂；
- **Offering, promising, or transferring anything of value to a public official in order to influence the public official and obtain or retain business, or to obtain or retain an advantage for any Associated Person including offers, promises, or transfers to any third party, such as a family member, agent, or legal entity, in order to influence a public official; and**  
向公职人员提供、承诺或转让任何有价值的物品，以影响公职人员来获得或维持业务，或为关联人员获取或保留某项利益，包括要约、承诺或第三方交易，如家庭成员、代理人或法人实体，以影响公职人员；及
- **Making a payment, offer, request, acceptance, or promise of anything of value to:**  
支付、提供、要求、接受或承诺以下人员任何有价值的物品：
  - a) **public officials;**  
公职人员；
  - b) **political parties or party officials;**  
政治党派或党派官员；
  - c) **candidates for political office;**  
政治职位候选人；
  - d) **any other person while knowing that such person will pass the payment, offer, or promise to any of the above;**  
**or**  
任何得知此人将传递贿赂款项、要约或者对于以上任何形式的承诺的其他人员；或
  - e) **private individuals or legal entities**  
个人或法律实体。

**With or without corrupt intent for the purpose of:**

无论以下行为是否带有腐败意图：

- a) **influencing an official or private individual's (or legal entity's) act or decision;**  
影响一名官员或个人（或法律实体）之行为或决定；
- b) **inducing a person to do or omit to do acts in violation of his or her official duty;**  
引导某人违反其公职，以执行或不执行某项行为；
- c) **inducing that person to use his or her influence with a government to affect or influence any government decision or action; or**  
引导某人利用其政府影响力来影响任何政府决策或行为；或
- d) **securing an improper advantage**  
争取某项不正当利益。

**To assist in obtaining or retaining business; and**

为了协助获取或维持业务；以及

- **Aiding, abetting, or counselling of any of the above prohibited payments.**  
协助、煽动或咨询上述任何禁止的款项。

It is important to note that a corrupt act does not need to succeed in its purpose to violate this Policy.

请注意，腐败行为无论是否达到其目的都违反了本政策。

All Associated Persons are required to adhere to this Policy and any reporting requirements herein. Additionally when adhering to this Policy, Associated Persons should take into consideration and abide by all applicable anti-bribery and corruption legislation and regulations including but not limited to those in their local jurisdiction.

所有关联人员必须遵守本政策及其中公布的要求。遵守本政策的同时，关联人员需顾及并遵从包括但不限于其所处司法辖区现行反贿赂反腐败法律法规。

## Reporting 报告

**FXCM expects all Associated Persons who have concerns about any aspect of FXCM's business or any other concerns, such as cases of suspected unethical or unlawful behaviour, to come forward and voice those concerns openly, confidentially, or anonymously.**

福汇希望所有对福汇业务的任何方面有疑虑或任何其他疑虑的关联人员，例如涉嫌不道德或违法行为的案例，以公开、保密或匿名的方式表达这些疑虑。

**Should an Associated Person select to voice their concerns or find themselves in a situation of a possible breach of this Policy, the Associated Person should contact FXCM at [accountinfo@fxcm.com](mailto:accountinfo@fxcm.com) or in writing to the General Counsel at 20 Gresham Street, 4th Floor, London EC2V 7JE, United Kingdom.**

若关联人员选择表达相关疑虑或认为自己可能会违反本政策，该人员应通过发电邮至 [accountinfo@fxcm.com](mailto:accountinfo@fxcm.com) 联络福汇，或致函总法律顾问：20 Gresham Street, 4th Floor, London EC2V 7JE, United Kingdom。

## Recordkeeping 记录保存

**In accordance with this Policy, and all relevant laws and regulations, FXCM maintains detailed, accurate, and proper books, records, and financial reporting, which properly reflect the substance of corporate payments and transactions, including payments to third parties. All accounts, invoices, memoranda and other documents and records relating to dealings with third parties must be prepared and maintained with strict accuracy and completeness.**

根据本政策以及所有相关法律和法规，福汇保留详细、准确和适当的账簿、记录和财务报告，以正确反映公司付款和交易的内容，包括对第三方的付款。与第三方交易相关的所有账户、发票、备忘录和其他文件和记录必须准确及完整的准备和保存。