



Anti-Bribery and Corruption Policy

反賄賂反腐敗政策



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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.

反賄賂反腐敗政策（“反賄賂政策”或是“政策”）概述 FXCM Group, LLC（“福匯”或“公司”）重視其在道德行為、財務誠信及可靠性方面的聲譽。福匯認為賄賂和腐敗損害其合法的商業利益。更廣泛地來說，賄賂破壞了法治，並對於發展中和新興經濟體的持續經濟發展以及自由市場的正常運作構成了嚴重威脅。福匯致力於以公平、誠實、開放和正直的方式於全球開展業務。

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，福匯嚴格遵守金融犯罪法律與法規的最高標準，其中包括探查及預防洗錢行為、恐怖主義融資、制裁、賄賂和腐敗、市場濫用、詐騙和數據洩漏（包括身份盜用）以及其他犯罪行為（統稱為“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: 福匯對於賄賂和貪污採取零容忍措施，並期望所有關聯人員採取相同的措施。福匯致力於通過以下方式實施及執行有效的制度以打擊、監視以及防止賄賂和腐敗：

- **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);**
遵守其經營地司法轄區所有打擊賄賂和腐敗相關法律條款。特別指出，福匯遵守英國 2010 年賄賂法（賄賂法）、美國 1997 年海外反腐敗法、澳大利亞 1995 刑法典以及南非預防和打擊腐敗活動法（2004 年）的適用法規；
- **Setting out a clear anti-bribery and corruption policy and proportionate and effective anti-bribery and corruption procedures;**
制定明確的反賄賂反腐敗政策以及相對應和有效的反賄賂反腐敗程序；
- **Carrying out appropriate due diligence on third parties that conduct business with FXCM;**
對與福匯有業務往來的第三方機構展開合理盡職調查；
- **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;**
培訓員工及其他相關人員關於內外部的反賄賂反腐敗義務，使其能識別並避免自己和他人的賄賂或腐敗行為；
- **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;**
要求員工保持警覺及舉報任何涉嫌賄賂或腐敗的行為，向其提供適當的溝通渠道及確保敏感信息得到適當處理；
- **Implementing and enforcing effective systems to monitor and prevent bribery in accordance with the law;**
依法貫徹實施有效制度以監控及阻止賄賂行為；
- **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**
嚴格調查涉嫌或已確認的賄賂或腐敗情況，將可能或已確認的賄賂或腐敗事例（酌情）通知英國嚴重詐欺辦公室（或其他相關機構），並協助警方及其他有關當局進行起訴；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.**
對於任何牽涉賄賂、腐敗或不支持反賄賂反腐敗要求的任何關聯人員採取強而有力的行動。

Applicability 適用範圍

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.

本政策適用於所有福匯關聯人員。根據賄賂法，“關聯人員”是指為福匯或代表福匯提供服務的任何人。

Bribery Offences 賄賂罪

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:

賄賂法中有許多罪行，每項罪行的目的都是在每個階段批准提供或收受賄賂。這些罪行包括與以下有關的罪行：

- 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;
向他人行賄 – 某人為了相關職能或行為之不正當操作而提供、承諾或給予另一人經濟利益或其他利益；
- 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;
收受他人賄賂 – 某人由於相關職能或行為之不正當操作而索要、同意收取或主動接受經濟利益或其他利益；
- 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
賄賂公職人員 – 某人出於影響公職人員執行公務之目的，提供、承諾或給予一名“公職人員”經濟利益或其他利益；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.
商業機構未能阻止賄賂行為 – 若“某商業機構相關人員”在開展該商業機構業務時，為了獲得/維持業務或利益而賄賂另一人，該機構將被起訴。

Requirements & Compliance

要求及合規

All Associated Persons are prohibited from directly or indirectly:

所有關聯人禁止直接或間接：

- **Offering, promising, giving, requesting, accepting, or agreeing to receive a bribe of any kind, in any form;**
提供、承諾、給予、要求、主動接受或同意收取任何種類和形式的賄賂；
- **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**
向公職人員提供、承諾或轉讓任何有價值的物品，以影響公職人員來獲得或維持業務，或為關聯人員獲取或保留某項利益，包括要約、承諾或第三方交易，如家庭成員、代理人或法人實體，以影響公職人員；及
- **Making a payment, offer, request, acceptance, or promise of anything of value to:**
支付、提供、要求、接受或承諾以下人員任何有價值的物品：
 - a) **public officials;**
公職人員；
 - b) **political parties or party officials;**
政治黨派或黨派官員；
 - c) **candidates for political office;**
政治職位候選人；
 - d) **any other person while knowing that such person will pass the payment, offer, or promise to any of the above;**
or
任何得知此人將傳遞賄賂款項、要約或者對於以上任何形式的承諾的其他人員；或
 - e) **private individuals or legal entities**
個人或法律實體。

With or without corrupt intent for the purpose of:

無論以下行為是否帶有腐敗意圖：

- a) **influencing an official or private individual's (or legal entity's) act or decision;**
影響一名官員或個人（或法律實體）之行為或決定；
- b) **inducing a person to do or omit to do acts in violation of his or her official duty;**
引導某人違反其公職，以執行或不執行某項行為；
- c) **inducing that person to use his or her influence with a government to affect or influence any government decision or action; or**
引導某人利用其政府影響力來影響任何政府決策或行為；或
- d) **securing an improper advantage**
爭取某項不正當利益。

To assist in obtaining or retaining business; and

為了協助獲取或維持業務；以及

- **Aiding, abetting, or counselling of any of the above prohibited payments.**
協助、煽動或諮詢上述任何禁止的款項。

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

請注意，腐敗行為無論是否達到其目的都違反了本政策。

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.

所有關聯人員必須遵守本政策及其中公佈的要求。遵守本政策的同時，關聯人員需顧及並遵從包括但不限於其所處司法轄區現行反賄賂反腐敗法律法規。

Reporting 報告

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.

福匯希望所有對福匯業務的任何方面有疑慮或任何其他疑慮的關聯人員，例如涉嫌不道德或違法行為的案例，以公開、保密或匿名的方式表達這些疑慮。

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 or in writing to the General Counsel at 20 Gresham Street, 4th Floor, London EC2V 7JE, United Kingdom.

若關聯人員選擇表達相關疑慮或認為自己可能會違反本政策，該人員應通過發電郵至 accountinfo@fxcm.com 聯絡福匯，或致函總法律顧問：20 Gresham Street, 4th Floor, London EC2V 7JE, United Kingdom。

Recordkeeping 記錄保存

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.

根據本政策以及所有相關法律和法規，福匯保留詳細、準確和適當的賬簿、記錄和財務報告，以正確反映公司付款和交易的內容，包括對第三方的付款。與第三方交易相關的所有賬戶、發票、備忘錄和其他文件和記錄必須準確及完整的準備和保存。