

FINANCIAL SERVICES GUIDE

Version 3.2

Date Prepared: 24th August 2015

This Financial Services Guide (FSG) should be read in conjunction with the Vantage Global Prime Pty Ltd (Vantage Global Prime) Financial Services Guide (Australian Financial Services Licence No. 428901) which can be downloaded from the Legal Documents page of the Vantage FX website – <https://www.vantagefx.com/about-us/legal-documents> . The purpose of this FSG is to provide you with additional information about the type of financial services you may be provided by Vantage FX Pty Ltd (Vantage FX), ACN 140 903 886.

Vantage FX has been appointed as a corporate authorised representative of Vantage Global Prime which holds Australian Financial Services Licence No. 428901. Employees and representatives of Vantage FX who provide general advice on their behalf have also been appointed as authorised representatives of Vantage Global Prime.

The distribution of this FSG by Vantage FX and its representatives has been approved by Vantage Global Prime.

About this document

The purpose of this Financial Services Guide (FSG) is to detail the financial services Vantage FX (we, our, us) offer and to assist you in making an informed decision whether to use these services, before seeking our advice.

This FSG explains:

- ◆ Other disclosure documents we may give you
- ◆ Who we are and how you can contact us
- ◆ Financial services and products we are authorised to provide
- ◆ How you can instruct us
- ◆ How we get paid (remuneration, commissions, benefits)
- ◆ How we deal with customer complaints and where you can go for further help
- ◆ Records we keep and privacy policy

This FSG contains general information. If you have further questions after reading it please contact us.

Other disclosure documents we may give you

Vantage FX will provide clients with documentation to facilitate transactions including client agreements, terms and conditions and confirmations.

Vantage FX can provide you with factual information and research, and facilitate execution requests.

Where we make a recommendation on a product to a retail client, we will provide a Product Disclosure Statement (“PDS”) which will assist you in deciding whether to acquire the financial product. The PDS contains important information about the product features, benefits, risks and fees associated with that product. The PDS should be read carefully to enable you to make an informed decision about whether to utilise the product.

Who we are and how you can contact us

Vantage FX is an Australian registered company offering a wide range of financial products to an extensive client base. Vantage FX specialises in financial derivatives and OTC products, principally margined Foreign Exchange as well as Contracts for Difference (CFDs) on shares, indices and commodities. We aim to offer a high level of service as standard to all of our clients whilst adhering to the principles of transparency, diligence and integrity.

Nature of Advice

We only provide general advice. We do not provide personal advice (advice which takes into account your objectives, financial situation or needs). You will therefore not receive a Statement of Advice from us.

Our contact details

Contact: Compliance Manager
Address: Level 29, 31 Market Street,
Sydney, NSW. 2000. Australia
Phone: 1300 945 517 or +61 2 8999 2044
Fax: +61 2 9279 2652
Email: support@vantagefx.com

You may specify how you would like to give us instructions; for example, by telephone, fax email or other means. But in all cases we must receive a written confirmation of these instructions

Financial services and products we are authorised to provide

Vantage FX is authorised to provide you with the following range of financial services:

provide general product advice, deal and make a market on the following classes of financial products:

- ◆ derivatives;
- ◆ foreign exchange contracts;

Please note that Vantage FX does not provide personal advice in relation to financial products. Any general advice we provide to you as a retail client does not take account of your personal circumstances. Before acting on any general advice, you must consider the appropriateness of the advice in light of your personal circumstances. Newsletters, trade alerts and research papers are examples of general advice we may give you.

How do we get paid?

General information about remuneration and charges can be found in the Vantage Global Prime FSG. A full description on the amounts we charge and when they will be charged is included in relevant Vantage Global Prime Product Disclosure Statements. As a Corporate Authorised Representative of Vantage Global Prime we may receive up to 90% of the gross income including brokerage generated from clients.

Our employees and directors are remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus which is based on achievement of pre-determined business objectives such as a contribution to profit, client service, risk management and leadership/team contribution.

You have a right to request for further information in relation to the remuneration, the range of amounts or rates of remuneration, and soft dollar benefits received by Vantage FX.

Compensation arrangements

Vantage Global Prime holds Professional Indemnity Insurance cover for the activities conducted under their AFS licence. The policy provides coverage in the aggregate of up to AUD\$20,000,000 with an excess of AUD\$20,000 to cover claims regarding professional negligence, directors and officers liability, crime (fraud) and the conduct of representatives (including representatives who no longer work for us but who did at the time of the relevant conduct). Our Professional Indemnity insurance cover is subject to the policy terms and conditions. Vantage Global Prime considers that our insurance cover generally satisfies the requirements of s912B of the Corporations Act.

Dispute resolution

We want to know about any problems or concerns you may have with our services so we can take steps to resolve the issue. We have internal and external dispute resolution procedures to resolve complaints from clients. A copy of these procedures may be obtained upon request.

Initially, all complaints will be handled and investigated internally. Vantage FX will provide you with a written acknowledgement of the complaint and will endeavor to provide a resolution of the matter within 45 days. Should you feel dissatisfied with the outcome, you have the ability to escalate your concerns to an external body for a resolution.

Furthermore Vantage FX Pty Ltd is a member of the Financial Ombudsman Service (FOS), which is an approved external dispute resolution scheme that can deal with complaints about all of the financial services Vantage FX Pty Ltd provides.

If you have a complaint about the financial services provided to you, please

take the following steps:

Firstly contact Vantage FX Pty Ltd to inform us about your complaint. You may do this by telephone, facsimile, email or letter.

Contact: The Complaints Officer
Address: Level 29, 31 Market Street,
Sydney, NSW. 2000. Australia
Phone: 1300 945 517 or +61 2 8999 2044
Fax: +61 2 9279 2652
Email: support@vantagefx.com

If you are dissatisfied with the outcome, you have the right to complain to the Financial Ombudsman Service (FOS) in writing at:

Financial Ombudsman Service
G.P.O. Box 3
Melbourne VIC 3001

Telephone: 1300 780 808
Facsimile: (03) 9613 6399
Web: www.fos.org.au
Email: info@fos.org.au

Vantage FX Pty Ltd is a member of the FOS complaints resolution scheme and our membership number is 14926.

You can contact the Australian Securities and Investments Commission on 1300 300 630. This is a free call info line. This is another alternative that you may use to make a complaint and obtain information about your rights.

Associations and Relationships

Vantage FX may pay commission or provide other benefits to introducing advisers and referrers for the introduction or referral of clients to us. The commission paid by us to introducing advisers and referrers may include:

- ◆ a share of Vantage FX spread income generated from your trading in Forex, Indices or CFD Futures Contracts, up to a maximum of one pip per round turn. For example if you opened and closed a trade of 1 lot AUD/ USD (\$100,000 AUD/ lot with 100:1 leverage) this would equate to a commission of up to a maximum of approx AUD \$10.

We may also provide non-cash benefits to referrers and introducing advisers, including data feeds of our prices.

Privacy Policy

We value the privacy of your personal information. When we collect, use, disclose or handle personal information, we are bound by the Privacy Act 1988. Our full privacy policy is available from our website <https://www.vantagefx.com/about-us/legal-documents>. If you would like a copy of our privacy policy, or wish to seek access to, or correct the personal information we collect or disclose about you, please contact us.

Anti-Money Laundering Obligations

As a financial service provider, we have an obligation under the Anti Money Laundering and Counter Terrorism Financing Act 2006 to verify your identity and the source of any funds. This means that we will ask you to present identification documents such as passports and driver's licence. We will also retain copies of this information. We assure you that this information will be held securely. We cannot provide you with services if

you are unwilling to provide this information. If you decide to establish and fund an account with us you will be required to deposit funds into a client trust account held by the licensee Vantage Global Prime Pty Ltd at National Australia Bank.

Contact details

If you have any queries about this FSG or our services, you can contact Vantage FX Pty Ltd:

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Sydney, NSW. 2000. Australia

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