

## FINANCIAL SERVICES GUIDE

Version 2.0

1 November 2018

### A guide to our relationship with you

Klimex Capital Markets Pty Ltd (“Klimex Capital Markets”, we, our, us) is a financial services firm which provides clients with general advice about trading over-the-counter derivatives e.g. margin foreign exchange (FX) contracts and contracts for difference (CFDs).

Klimex Capital Markets is a corporate authorised representative (Authorised Representative Number: 1008712) of Vantage Global Prime Pty Ltd (“Vantage Global Prime”) which holds Australian Financial Services Licence No. 428901. Employees and representatives of Klimex Capital Markets who provide general advice are also representatives of Vantage Global Prime.

The distribution of this FSG by Klimex Capital Markets 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 Klimex Capital Markets (we, our, us) offers and to assist you in making an informed decision whether to use our services.**

### This FSG explains:

- ◆ **Other disclosure documents we may give you**
- ◆ **Who we are and how you can contact us**
- ◆ **Financial services we are authorised to provide**
- ◆ **How you can instruct us**
- ◆ **How we (and any other relevant parties) are paid**
- ◆ **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

Where we make a recommendation on a product to a retail client in this jurisdiction, 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

Klimex Capital Markets is an Australian registered company offering general advice to clients about trading margin FX contract and CFDs. We aim to offer a high level of service standards to all of our clients whilst adhering to the principles of transparency, diligence and integrity.

### Nature of Advice

We provide general advice **only**. 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

Klimex Capital Markets Pty Ltd  
Address: Level 1, 309 George St,  
Sydney, NSW. 2000. Australia  
Phone: +61 2 82352788  
Email: [info@klimexcm.com](mailto:info@klimexcm.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

Klimex Capital Markets is authorised by Vantage Global Prime Pty Ltd (Vantage Global Prime) (Australian Financial Services Licence No. 428901) to provide you with the following range of financial services:

provide general product advice on the following classes of financial products:

- ◆ derivatives; and
- ◆ foreign exchange contracts.

Vantage Global Prime's contact details are:

Address: Level 29, 31 Market St,

Sydney, NSW. 2000. Australia

Phone: +61 1300 858 952

Fax: +61 2 9211 1391

Email: support@vantageprime.com

When we provide financial service to you we do so on behalf of Vantage Global Prime. Vantage Global Prime acts as principal in relation to the financial services we provide you on its behalf.

Please note that Klimex Capital Markets 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.

In providing our service, other financial issues may arise, such as how to invest money, or taxation issues. However, we are not authorised to provide advice relating to those financial issues, or any other issues except those explained above. You should seek specific advice from the appropriate professionals if these issues are relevant to you.

#### **How do we get paid?**

As a Corporate Authorised Representative of Vantage Global Prime we typically receive a flat fee of 3.00 AUD per lot traded on trading activities that are hedged back-to-back with our authorising licensee's liquidity providers. In relation to other types of trading, we typically receive up to 60% of the gross income including generated by Vantage Global Prime 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.

Klimex Capital Markets shareholders will also receive a benefit based on its ongoing company performance.

Klimex Capital Markets may from time to time receive a benefit from preferred product providers including educational seminars, conferences, and training days. Details of benefits valued at AUD\$300 or above received by us will be maintained on a register

#### **Right to request further information**

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

#### **Compensation arrangements**

Our licensee, Vantage Global Prime, has compensation arrangements in place to maintain adequate professional indemnity insurance that satisfy s912B of the Corporations Act 2001. This insurance provides cover for claims made against us and our representatives including claims in relation to the conduct of representatives who no longer work for us but who did so at the time of the relevant conduct.

#### **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.

Initially, all complaints will be handled and investigated internally. Therefore, if you have a complaint about the financial services we provided to you, please contact us using the contact details above.

To help us investigate and resolve your complaint quickly and efficiently, we ask that you provide as much information as possible about the nature of your complaint, including the following:

- Your name, trading account number and contact details;
- Copies of relevant documents; and
- Details of what you would like us to do to put things right

Klimex Capital Markets will provide you with a written acknowledgement of the complaint as soon as practically possible after its receipt. We will endeavor to provide a resolution of the matter within 45 days.

If your complaint is not satisfactorily resolved within 45 days, please contact the Complaints Manager of our licensee via the contact details at the start of this FSG. We will try and resolve your complaint quickly, fairly and within prescribed time frames.

If the complaint is not resolved to your satisfaction, you may lodge a complaint with AFCA:

Online: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

Phone: 1800 931 678

Mail: Australian Financial Complaints Authority  
GPO Box 3,  
Melbourne VIC 3001

Our authorising licensee, Vantage Global Prime, is a member of AFCA. Our membership number is 30840.

#### **Associations and Relationships**

Klimex Capital Markets is a corporate authorised representative of its authorising licensing Vantage Global Prime.

#### **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.KlimexCapitalMarketsfx.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.