

# Financial Services Guide



**Vantage Global Prime Pty Ltd**

ACN 157 768 566

Australian Financial Services Licence Number: 428901

## FINANCIAL SERVICES GUIDE

Version 1.2

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### A guide to our relationship with you

Vantage Global Prime Pty Ltd ("Vantage Global Prime", we, our, us) is an investment management and execution service provision business and our role is to give you the ability to trade foreign exchange contracts and derivatives; provide general advice; and deal in foreign exchange contracts and derivatives.

### About this document

The purpose of this Financial Services Guide (FSG) is to detail the financial services Vantage Global Prime 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
- Nature of advice and responsibilities
- Products we provide
- How you can instruct us
- What our financial products cost you (remuneration, commissions, benefits)
- How we deal with customer complaints and where you can go for further help
- Conflicts of interest
- 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 Global Prime will provide clients with documentation to facilitate transactions including client agreements, terms and conditions and confirmations.

Vantage Global Prime 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 Global Prime Pty Ltd ACN 157 768 566 ("Vantage Global Prime", we, our, us) is responsible for the Financial Services described in this guide. Vantage Global Prime holds Australian Financial Services Licence ("AFSL") AFSL Number 428901.

Vantage Global Prime is a financial services firm that deals predominately in foreign exchange contracts and over-the-counter derivatives.

Your account manager is a representative of, and acts on behalf of, Vantage Global Prime.

### Our contact details

Contact: Compliance Manager  
Address: Level 29, 31 Market St,  
Sydney, NSW. 2000. Australia  
Phone: +61 1300 858 952  
Fax: +61 2 9211 1391  
Email: support@vantageprime.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 Global Prime is authorised under its AFSL to provide you with the following range of financial services:

1. Provide general advice on the following classes of financial products:
  - derivatives;
  - foreign exchange contracts;
2. deal in a financial product by: issuing, acquiring, applying for, varying or disposing of in respect of the following classes of financial products:
  - derivatives;
  - foreign exchange contracts; and
3. make a market in:
  - foreign exchange contracts; and
  - derivatives.

Our AFSL authorises us to provide the above services to retail and wholesale clients (within the definition contained in the Corporations Act).

### **Nature of Advice and our Responsibilities**

Vantage Global Prime provides only general advice in relation to derivatives and foreign exchange contracts. 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.

Before taking any action to acquire any of the financial products or services mentioned in this FSG you should consider whether the product or service is appropriate having regard to your Personal Circumstances. You should also consult the relevant PDS and ensure that you understand the risks associated with the financial products and services you enter into with Vantage Global Prime.

### **Products we provide**

Vantage Global Prime provides an execution service and/or provides you with general advice in relation to forex and other derivatives.

Vantage Global Prime is a market maker when dealing in foreign exchange contracts and derivatives. Accordingly, Vantage Global Prime may act as principal in transactions with you in respect of margin foreign exchange contracts ("Margin FX"), contracts for difference ("CFD") and any other derivatives.

Vantage Global Prime may also arrange for you to be supplied with financial services and products issued by non-related product providers. Vantage Global Prime may receive a fee or commission payment from these non-related product providers as a result of you investing in one of their products or services. Any remuneration that Vantage Global Prime may derive is included in the fees and commissions you pay as outlined below.

### **How to instruct us**

Before transacting with Vantage Global Prime you must open an account with us.

You may then give instructions to us in any of the following ways:

- by the telephone in writing (including email or facsimile by prior arrangement, note you must confirm with us that such instructions have in fact been received by us); and
- electronically via one of the Vantage Global Prime trading platforms.

### **What Our Financial Products Cost You**

Our PDS provides details about specific transaction fees and costs associated with our financial products. However, please note, with the exception of one type of financial product: RAW Account – "ECN Style Forex" where the commissions are set out on our Website, that there will be no commissions payable on foreign exchange or for trading in financial products, including Margin FX Contracts and CFDs Vantage Global Prime. We generally make our revenue by earning the spread in the rates quoted to you (buy/sell spread) when you seek to transact with us.

The common fees and charges when dealing in such financial products may incorporate any or all of the following:

- payment of margin;
- margin adjustments;
- rollover charges calculated at our rollover rates;
- swap charges calculated at our swap rates;
- interest charges applied to debit balances;
- administration fees; and
- a commission in respect of the type of financial product specified above

### **Commissions, remuneration and other benefits received by Vantage Global Prime**

Vantage Global Prime is entitled to retain any interest it earns on client money held in the segregated accounts it must maintain pursuant to the Corporations Act. The rate of interest is determined by the provider of each segregated account.

Our employees and directors are remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus related to business objectives. Certain employees, directors and representatives may also receive up to 100% of all fees and commissions generated from their clients depending on the level of salary and the aggregate revenue that they earn for Vantage Global Prime. Such payments are discretionary and are generally made in the form of monetary benefits and are paid quarterly or annually.

You have a right to request for further information in relation to the remuneration, the range of amounts or rates of remuneration received by Vantage Global Prime and/or its representatives

### **Commissions, remuneration and other benefits paid by Vantage Global Prime**

You may have been referred to us by a service provider who may receive financial or non-financial benefits from us. These should be disclosed to you by the service provider in question. Please note that such benefits will not impact transaction fees or the rates you will be offered for financial products or services undertaken with Vantage Global Prime.

### **Soft dollar benefits**

Vantage Global Prime 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\$200 or above received by us will be maintained on a register.

You have a right to request for further information in relation to the soft dollar benefits received by Vantage Global Prime and/or its representatives

### **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.

### **Disclosure of Any Relevant Conflicts of Interest**

We do not have any relationships or associations that might influence us when providing you with our services.

### **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 Global Prime will provide you with a written acknowledgement of the complaint and will endeavour 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 Global Prime 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 Global Prime Pty Ltd provides under its AFSL.

If you have a complaint about the financial services provided to you, please take the following steps:

Contact Vantage Global Prime Pty Ltd to inform us about your complaint. You may do this by telephone, facsimile, email or letter.

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](http://www.fos.org.au)  
Email: [info@fos.org.au](mailto:info@fos.org.au)

Vantage Global Prime Pty Ltd is a member of the FOS complaints resolution scheme and our membership number is 30840.

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.

### **Privacy Policy**

We are committed to implementing and promoting a privacy policy that will ensure the privacy and security of your personal information. When we collect, use, disclose or handle personal information, we are bound by the Privacy Act 1988. A copy of our privacy policy will be provided upon your request. Our full privacy policy is available from our website <http://www.vantageprime.com>.

### **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.

### **Contact details**

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

Address: Level 29, 31 Market St,  
Sydney, NSW. 2000. Australia  
Phone: +61 1300 858 952  
Fax: +61 2 9211 1391  
Email: [support@vantageprime.com](mailto:support@vantageprime.com)