



# Financial Services Guide

**Issue Date:** 28 September 2018

Monex Securities Australia Pty Ltd

**AFSL No:** 363972 | **ABN:** 84 142 210 179

**Registered Office:** Level 2 - The Bond, 36 Hickson Road Sydney NSW 2000

### Purpose of this Financial Services Guide ('FSG')

This Financial Services Guide ('FSG') is issued by Monex Securities Australia Pty Ltd ACN 142 210 179, ABN: 84 142 210 179 ("Monex AU", "we", "our", or "us") with the purpose of providing you with information about the type of financial services that Monex AU offers to assist you in making an informed decision about whether to use our financial services.

We hold Australian Financial Services ("AFS") License no. 363972, which authorises us to provide general advice on, deal in and make a market for securities.

This document should be read in conjunction with the Fee and Charges Schedules (Fee Schedule), Terms and Conditions (T&C) and the Monex AU Equities Brochure available on our website [www.monexsecurities.com.au](http://www.monexsecurities.com.au) or by contacting us on +61 2 9103 9600.

Our Equities Brochure, T&C and Fees schedule contain further information about our financial products, including risks, benefits, costs, fees, charges applicable to you and how to obtain access and trade in our available products and services.

The FSG, Fee Schedule, T&C and Equities Brochure are important documents and should be read in their entirety when making your decision to acquire or to continue to use Monex AU financial products and services.

This FSG contains information about:

- Other documents that you may receive from us;
- Who we are, how to contact us and how we will communicate with you (providing us instructions and transaction confirmations) ;
- The kinds of financial services that we provide and the financial products to which those services relate;
- Who we act for when providing financial services to you and which licensed markets and licensed clearing and settlement facilities we participate in, appointed brokers and sub custodians;
- How we are paid for<sup>[1]</sup><sub>SEP</sub> the financial services offered;
- The associations or relationships between us and any related persons and issuers of financial products that might influence how we provide the financial services; and
- How complaints against us are dealt with and our dispute resolution procedures and how you can access them.

- How we manage your privacy regarding your personal information.

Please retain this FSG all other documents provided to you by us in addition to any updated information that is provided to you for future reference.

For further information about Monex AU products and services, contact us on +61 2 9103 9600 at [services@monexsecurities.com.au](mailto:services@monexsecurities.com.au)

### Other documents that you may receive from us

We will provide you with the following additional documentation so that you can make an informed decision as to whether to acquire a final product and use our services:

- Monex AU Equities Brochure;
- Securities Trading Terms and conditions document;
- Fees schedule on our available products and services;
- Welcome information when establishing your online equities trading account;

### Who we are, how to contact us and how we will communicate with you

Monex AU is the provider of an electronic (online) equities trading platform giving you access to online trading of listed securities across various markets in Australia and overseas.

With one account and one trading platform, you can trade listed securities in 12 markets:

- |             |             |               |
|-------------|-------------|---------------|
| • Australia | • China     | • Taiwan      |
| • USA       | • Korea     | • Indonesia   |
| • Japan     | • Singapore | • Malaysia    |
| • Hong Kong | • Thailand  | • Philippines |

You can contact us by telephone, email in person and by post. Our contact details are set out below:

By Telephone	+61 2 9103 9600
By email	<a href="mailto:services@monexsecurities.com.au">services@monexsecurities.com.au</a>
In Person:	Level 2 - The Bond, 36 Hickson Road Sydney NSW 2000

By post	Level 2 - The Bond, 36 Hickson Road Sydney NSW 2000
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You can provide us your instructions (including general enquiries) on your account and investment trading across Monex AU products and services:

**Online:** By entering your username and password in our secure online portal available on our website.

**Email:** By sending an email to our nominated email address within table above. [services@monexsecurities.com.au](mailto:services@monexsecurities.com.au)

**Telephone:** only available for general enquiries pertaining to your account;

We may communicate with you electronically by email or telephone based on the nominated contact details you have provided to us when establishing your online account with Monex AU.

We will also provide you with electronic Transaction Confirmations to your nominated email address including transactional information, trades executed, fees and charges. We will provide you with documentation to confirm the transactions you have executed. You can also review any trades or transaction information pertaining to your equities account by accessing your account online at any time by visiting [www.monexsecurities.com.au](http://www.monexsecurities.com.au) with the credentials provided to you at account establishment. You may also call us to obtain details of your transactions, account balances or general enquiries relating to your account. Our operating hours are between 9:00 am to 5:00pm EST, Monday to Friday (excluding NSW Public holidays).

### Authorised Financial Services

We are authorised under our Australian Financial Services License to carry on a financial services business to:

(a) Provide general financial product advice for the following classes of financial products:

- (i) Derivatives;
- (ii) Foreign exchange contracts;
- (iii) Interests in managed investment schemes excluding investor directed portfolio services; and
- (iv) Securities;

(b) Deal in a financial product by:

- (i) Issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
  - (A) Derivatives; and
  - (B) Foreign exchange contracts; and

(ii) Applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:

(A) Deposit and payment products limited to:

(1) Basic deposit products;

(B) Derivatives;

(C) Foreign exchange contracts;

(D) Interests in managed investment schemes excluding investor directed portfolio services; and

(E) Securities;

(c) Make a market for the following financial products:

(i) Foreign exchange contracts; and

(ii) Derivatives; and

(d) Provide the following custodial or depository services:

(i) Operate custodial or depository services other than investor directed portfolio services;

to retail and wholesale clients.

### General Advice

We only provide General Advice. Any information you have requested about the market, any products that we recommend, or any discussion you have with us, including our employees or agents should only be regarded as general advice and will not take into account your objectives, financial situation or needs.

For personal advice specific to your particular financial situation, objectives or needs, you will need to speak to your financial adviser, financial planner or tax adviser. Monex AU is not authorised to provide you with personal advice.

Further, any discussions with our employees about their view of current or future market conditions or prospects for a particular product should not be personal advice. Information provided during these discussions will be regarded as general information for your consideration prior to making any decision in relation to the financial services we provide.

### Financial Products

Clients of Monex AU with an equity trading account can trade listed securities on the major exchanges in the following markets:

- Australia
- USA
- Japan
- Hong Kong
- China
- Korea

- Singapore
- Thailand
- Taiwan
- Indonesia
- Malaysia
- Philippines

### **Who do we act for when providing financial services to you and which markets, clearing and settlement facilities, appointed brokers and sub custodians used**

As our client, your dealings are with Monex Securities Australia Pty Ltd. In relation to equities trading, our appointed broker and custodian is Monex BOOM Securities (H.K.) Limited.

### **How are we remunerated for the services we provide**

Unless otherwise stated, all fees, charges, commissions and benefits disclosed in this FSG are inclusive of GST where applicable.

We receive brokerage, fees and charges for transactions performed on your equities trading account.

Please refer to our “Fees Schedule” for list of fees and charges applicable on your account <https://www.monexsecurities.com.au/page/fee/> These charges include:

- Equity Commissions;
- Depository services;
- Nominee services;
- Corporate action services;
- Account related transactions and services

We charge you brokerage when we buy or sell financial products at your request. Brokerage and any government charges are deducted from the proceeds of sale or included to the purchase price of an order (trade instruction) received by you. Further, a minimum charge may apply to transactions.

Certain fees charged by Monex AU on your account may be tax deductible, we recommend you consult with your independent tax adviser for advice when applicable to you. This is not tax advice.

### **Other fees and charges applicable to you**

#### **Administrative Fees and charges**

Account establishment: Nil  
 Remittance charges (deposits/withdrawals): Nil  
 Statement charges: Nil  
 Statement Re-issue charges: A\$10 per statement

### **FX Conversion Fees**

Spot rate plus or minus up to 2%.

### **GST and other taxes**

You are responsible for any stamp duty (if applicable), transaction duty, GST or similar goods and services or value added tax payable in respect of services provided to you or any transaction made. Fees referred to in this FSG are generally inclusive of GST where applicable unless expressly stated.

### **Monex AU Employee Remuneration**

Our employees and directors are remunerated by way of salary and other employee benefits. The amount of any salary depends on a number of factors, including the person's position, length of service and experience. They may also be eligible for a discretionary bonus which is based on achievement of business objectives.

### **Associations and relationships between us and any related persons and issuers of financial products that might influence how we provide the financial services**

#### **Associations**

Monex Securities Australia Pty Ltd is a wholly owned subsidiary of Monex International Limited (Hong Kong) which in turn is fully owned by the publicly listed Monex Group, Inc. of Japan (TSE # 8698).

In operating our business, we utilise the business processes, facilities and resources of a number of members of the broader Monex group of companies. Client orders in relation to equities are passed through to Monex BOOM Securities (H.K.) Limited for execution by their appointed execution brokers with holdings held by their appointed custodians.

Other than being part of the Monex Group, we do not have any relationships or associations with other financial product issuers, which might reasonably be expected to be capable of influencing us in providing financial services to you.

### **Complaint Handling and Dispute Resolution**

We are committed to providing you with a high standard of service. If we have failed to meet your expectations, we would like to hear from you. If you have any complaints about Monex AU, resulting from the services provided to you, please contact us:

Telephone: +61 2 9103 9600

Email: [complaints@monexsecurities.com.au](mailto:complaints@monexsecurities.com.au)

If your complaint cannot be resolved at the first point of contact, you should write to:

By mail: The Complaints Officer  
Monex Securities Australia  
Level 2, The Bond 36 Hickson Road  
Sydney, NSW, 2000 Australia

Our Complaints Officer will contact you within 10 days acknowledging receipt of your complaint and we will try to resolve any issues you may have.

If we do not resolve your complaint to your satisfaction, you may lodge a complaint with the Australian Financial Complaints Authority (AFCA), which is an external dispute resolution scheme of which Monex AU is a member. Member Number is 24293.

To lodge a complaint with AFCA you should send the necessary documents and information to:

Australian Financial Complaints Authority

GPO Box 3

Melbourne VIC 3001

Australia

Phone: 1800 931 678

Fax: +61 (03) 9613 6399

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

Alternatively, you can now lodge complaints online by visiting their website at [www.afc.org.au](http://www.afc.org.au).

You may also contact ASIC by telephone on 1300 300 630 or using ASIC Connect Online Services at [www.asic.gov.au](http://www.asic.gov.au).

Monex AU has a complaint handling and dispute resolution procedure. A copy of our procedure is available on our website [www.monexsecurities.com.au](http://www.monexsecurities.com.au), alternatively a copy can be provided to you by contacting our office.

### **Compensation Arrangements**

Monex AU has an insurance policy covering professional indemnity and fraud in place, which satisfies the requirements for compensation arrangements under



section 912B of the Corporations Act.

The insurance policy covers the financial services we are authorised to provide under our AFSL, including where our employees and representatives provide financial services. These arrangements are in place to compensate individuals who suffer loss or damage as a result of a breach of Monex AU obligations. Our insurance policy also covers claims in relation to the conduct of representatives and employees who no longer work for us but who did at the time of the relevant conduct.

### How is my customer information dealt with

We recognise the importance of protecting your privacy. Your personal information will be handled in accordance with Monex AU Privacy Policy available on our website [www.monexsecurities.com.au](http://www.monexsecurities.com.au). Our policy contains information on how we collect your customer information, how this information is used, stored and disclosed to ensure we are able to provide you with the products and services most appropriate to your needs.

We may disclose your information to external parties that act on our behalf. These parties may include:

- Banks and financial institutions;
- Appointed service providers;
- Custodians, in Australia and in Hong Kong;

Further, we are also permitted to collect and disclose your personal information when required or authorised to do so by law.

If you have any concerns about the accuracy and completeness of the information held by Monex AU, you are welcome to request access to your personal information by contacting our Privacy Officer:

By Mail:

Attention: Privacy Officer (Monex AU)

Registered Office: Level 2- The Bond, 36 Hickson Road Sydney NSW 2000

By email: [complaints@monexsecurities.com.au](mailto:complaints@monexsecurities.com.au)

By telephone: +61 2 9103 9600

Please also refer to our Privacy Policy at [www.monexsecurities.com.au](http://www.monexsecurities.com.au) or contact us for a copy.

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