



MONEX AU Equities Brochure

Issue Date: 28 December 2017

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

Important notice

This document should be read in conjunction with the Monex AU Financial Services Guide (FSG), the fee schedule (Fee Schedule), Terms and Conditions (T&C) available on our website (www.monexsecurities.com.au) or by contacting us on +61 2 9103 9600

Our Equities Brochure, T&C and Fee Schedule contains 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.

Contents

Important notice.....	2
Contents.....	2
Access to a world of markets and Investments with Monex	3
How to set up your Trading account.....	3
Available Markets around the world	3
Product features, benefits and risks.....	4
Product features and benefits	4
Risks when investing in international shares (Risk Disclosure Statement)	4
Operating your account	5
Placing an order online & Trading	6
Retrieving account and transaction information, including periodic reporting....	6
Cash Management	6
Your deposit will be held in a segregated Trust Account held on your behalf.	7
Transferring securities into or out of your Equities Account	7
Foreign exchange transactions.....	7
Applicable Fees & Charges	7
Other information	7
About Monex Group.....	7
About Monex AU	7
Your privacy is important to us.....	8
How to contact us	8

Access to a world of markets and Investments with Monex

By leveraging the accumulated strengths of our global network of companies – Monex, Inc. (Japan), Trade Station Securities (USA) and Monex BOOM (Hong Kong), we are able to access very low execution costs and a bespoke back-end system that reduces costs and allows us to pass the savings along to you.

With Monex AU, opening an account is easy. Once your online account has been established, you are on your way to access over 50,000 listed securities in 12 markets.

Offering you the opportunity to invest in sectors not common in the domestic market and diversify your equities portfolio investment strategy to optimise your income and capital growth.

Once your Monex trading account is active, you can:

1. Access exchange listed securities in 12 Markets across Asia and the United States, which covers around 70% of world market value.
2. Trade US shares online, including NASDAQ and NYSE
3. Monitor your equities portfolio online;
4. View trading and account transaction history.

How to set up your Trading account

Setting up your online international share trading account is a straightforward process. Follow the 3 simple steps below:

1. Obtain a copy of our FSG from our website, read this document, read and accept our Terms and conditions contained within the application form;
2. Complete our Online Application form;
3. Submit the necessary ID and Tax information

Available Markets around the world

We give access to exchange listed securities in 12 Markets across Asia and the United States including:

1. Australia
2. USA
3. Hong Kong
4. Japan
5. China
6. Taiwan
7. Singapore

8. South Korea
9. Thailand
10. Philippines
11. Indonesia
12. Malaysia

Product features, benefits and risks

Product features and benefits

- **Multi Market stock trading capabilities** - Access to 12 Markets across Asia and the United States.
- **Competitive pricing** – Wide range of markets at a low cost.
- **Powerful Order Types** - Access to a collection of pre-set order types and let our systems do the work for you.
- **Integrated Account Management** - a consolidated account to manage your investments
- **Complete Web Access** - Placing all your instructions online over our mobile friendly secure Internet browser, additional apps or software not required.
- **Real time Account updates** - Receive real time on your order status, available funds and equities portfolio holding.

Risks when investing in international shares (Risk Disclosure Statement)

The risks involved with investment in international securities differ significantly from investment in securities quoted on the Australian Securities Exchange.

The risks outlined below should not be relied upon as a complete list or explanation of the risks involved. If you need further explanation regarding investment in local or international equity markets, you should seek appropriate professional financial advice.

You and your financial adviser should be aware of the following risks associated with investing in local and international equities, including (but not limited to):

- **Capital loss** – Investing in shares in the secondary market is by no means a guaranteed investment. Shareholders may receive only a fraction of their original investment amount or could face the prospect of the complete loss of the amount they invested in the shares of that company.
- **Foreign Currency movements** - Your international securities may be denominated in a currency other than Australian dollars. Adverse foreign exchange rate movements may move more than offset security price gains. It is your responsibility to monitor foreign currency movements and manage your exposure in accordance with your acceptable risk appetite.

- **International Custodian** - Your international securities will be held in the custody of an International Custodian appointed by Monex AU. Our International Custodian may be subject to risk arising from change to the political, legal, regulatory or commercial environment of the country of the Custodian or International Stock Exchange applicable, refer to our Terms and conditions for further information.
- **Withholding Tax** - Use of an international Custodian may result in withholding tax being applied at a rate that is different to the withholding tax that would normally apply in your country of residence. You should seek further professional taxation and/or financial advice in relation to this matter.
- **Market risk** - the value of both local and international securities may be affected by market variables, such as volatility in share markets, general economic conditions and interest rates, as well as issues specific to the securities. Please consult with your financial adviser in accordance with your acceptable risk appetite.

Operating your account

To open a trading account with us;

1. Register your email and personal information on "Sign Up" page. We will send a confirmation email to your email address;
2. Click the verification link found in the email and continue online application in our Client Portal;
3. Once you have finished your online application, register your tax details and bank information in "Account Settings". With the information registered, you can start funding and trading as soon as your application is approved.

Manage your login password

To change your Login Password, you need to login to your Monex account, then go to "Reset Password" under the "Account Settings" section. Please be reminded not to tell anyone your Login Password to protect your interests.

If you forgot your password, you can reset your password online;

1. Go to Login Page and click "Forgot Password";
2. Enter your registered email address and Captcha Code displayed on the page;
3. You will receive a "Reset Password" email and you can create a new password by clicking the link found in the email.

Change contact or account details

To change your name or mobile phone number, simply login to your Monex account and update the information on "Account Settings" > "Manage Profile" under "My Details" section.

To change other account information, you have to provide a written instruction or the completed "Change of Account Information Form" and email to us at services@monexsecurities.com.au.

For more information, please refer to our website at www.monexsecurities.com.au/page/support/

Placing an order online & Trading

Please refer to our trading user guide at www.monexsecurities.com.au/page/support/

Retrieving account and transaction information, including periodic reporting

The user-friendly platform allows for quick and easy access to your account information.

Simply follow the steps below:

1. Log into the Monex website using your email and password
2. Click on 'Reports' on the menu, located on the left side of the page on top of the 'log out' button
3. Select 'My Statement' from the reports list – this will show all account information concerning deposits, transfers to/from trading account and withdrawals

To access transaction information, once logged in:

1. Go to 'My Details' on the main menu
2. Select 'Trading Account'
3. Click 'Login as CA00000000' – this will be your unique trading account number
4. Once the trading platform loads, select 'Account History' from the main menu, located on the top right side of the page
5. Click 'Statement'
6. Sort by date according to your preference and select either daily or monthly statement

Note: transaction statements are limited to 15 months on the trading platform. If you would like access to statements further than 15 months, please contact our client support team.

Cash Management

You can deposit funds to your trading account via Bank Wire or BPAY. To fund your account, login to your Monex account, select "Cashier" > "Make a Deposit" and select your funding method.

Your deposit will be held in a segregated Trust Account held on your behalf.

Transferring securities into or out of your Equities Account

Please complete and sign a "MONEX Off Market Transfer Form" and mail the form to us. We will process the transfer according to your instruction.

Obligatory transfer fee and/or handling charges will be charged to your account upon receiving your completed securities transfer instruction.

Please note that the time involved in transferring the securities to MONEX will depend on the delivering broker.

Foreign exchange transactions

Transactions that require an exchange of one currency for another will be handled by us, through our chosen execution facility. Such transactions will be executed at the prevailing exchange rate plus or minus a margin that will not exceed 2%.

Applicable Fees & Charges

Please refer to our fees schedule for a full list of applicable fees and charges at www.monexsecurities.com.au/page/fee/

Other information

About Monex Group.

Monex Group is an online brokerage business with nearly 2 million clients worldwide with over USD 40 billion assets under custody as a group.

Founded in 1999, the Monex Group is an online brokerage business with over 830 employees through 12 offices worldwide, which are passionate about one thing only – to give our customers unmatched access to international markets at a reasonable cost.

Monex offers you cutting edge industry first digital applications and technology that allow you to trade in a way that is streamlined for you and your personal trading devices.

Quality service and client satisfaction are inherent in all that we do. Our service commitment delivers on the promise of a private, secure, fast and inexpensive trading experience.

About Monex AU

Monex AU aims to solve problem of difficult access and high brokerage fees that Australian investors have hereto faced when dealing with international securities.

Launched in 2017, Monex AU leverages the accumulated strengths of our global network of companies – Monex, Inc. (Japan), TradeStation Securities (USA) and Monex BOOM (Hong Kong) – which provide access to low execution costs and a bespoke back-end system, allowing us to pass the savings along to you.

Monex AU was created to fill a gap in the market that clearly needed to be filled. We give you access to a world of over 50,000 listed securities in 12 markets with a focus on Asia and the United States, all at a fair price with a user friendly trading platform.

Your privacy is important to us

Protecting your personal information is important to us. We respect your privacy and we are committed to protecting your individual right to privacy by ensuring continued integrity and security of the personal information you provide us in accordance with the Privacy Act 1988 (Cth) and the Australian Privacy Principles. Monex Securities Australia Pty Ltd (ABN 84 142 210 179 | AFSL 363972) has a privacy policy. The privacy policy explains the way we collect, maintain and handle your personal information. Please follow the link www.monexsecurities.com.au/page/privacy/ to obtain a copy of our policy.

How to contact us

Email: services@monexsecurities.com.au
Telephone: +61 2 9103 9600
Registered Address: Level 2 - The Bond, 36 Hickson Road Sydney NSW 2000
Service hours: 09:00 to 17:00 (Sydney time – AEST), Monday to Friday
(excluding NSW Public holidays)

Dated: 28 December 2017 (version 1.2)