



FINANCIAL SERVICE GUIDE

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Risk Warning: Trading in CFDs and Margin FX contracts involves the potential for profit as well as the risk of loss which may exceed the amount of your investment. In addition, you will not have any legal right to the underlying asset. CFDs and Margin FX contracts are not suitable for all investors. You should not invest in these products unless you properly understand the nature of the products and are comfortable with the associated risks. It is therefore important that you carefully consider these Terms and Conditions before you decide whether or not to acquire any of our products. You should obtain financial, legal, taxation and other professional advice prior to acquiring any of our products to ensure they are appropriate for your objectives, needs and circumstances.

A guide to our relationship with you

Vantage FX Pty Ltd (ACN 140 903 886) (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).

Vantage FX Pty Ltd is a corporate authorised representative (Authorised Representative Number 343547) of Vantage Global Prime Pty Ltd (“Vantage Global Prime”) which holds Australian Financial Services Licence No. 428901.

The distribution of this FSG by Vantage FX Pty Ltd and its representatives has been authorised by the authorising licensee: 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) offers and to assist you in making an informed decision whether to use our services.

It provides you with information about:

- Our authorising licensee: Vantage Global Prime and its Australian Financial Services Licence (AFSL)
- Vantage FX Pty Ltd

Vantage FX Pty Ltd is a corporate authorised representative of Vantage Global Prime.

This FSG explains:

- Who we and our authorising licensee are and how we can be contacted
- What services we are authorised to provide to you
- How we (and any other relevant parties) are paid
- How we and our authorising licensee deal with customer complaints

You should retain this FSG for your reference and any future dealings with us. We may also add documents at a later date which will also form part of this FSG, and these should be read together with the FSG. These documents will include the word ‘FSG’ in the headline.

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

Other disclosure documents we may give you

If we provide you with general advice, it may not be appropriate to your financial situation, objectives or needs, and you should consider your circumstances before choosing to proceed with our advice.

If you are a retail client, we will provide you with any relevant Product Disclosure Statement (PDS) which you should read before making any decisions.

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 acquire the product.

Who we are and how you can contact us

Vantage FX is an Australian registered company offering general advice to clients about trading margin FX contract and CFDs. We are a corporate authorised representative of Vantage Global Prime.

We aim to offer a high level of service to all of our clients whilst adhering to the principles of transparency, diligence and integrity.

Our contact details are:

Company name: Vantage FX Pty Ltd

Authorising representative number: 343547
Address: Level 29, 31 Market Street,
Sydney, NSW. 2000. Australia
Phone: 1300 945 517 or +61 2 8999 2044
Email: support@vantagefx.com.au

Our authorising licensee's contact details are:

Vantage Global Prime Pty Ltd
AFSL number: 428901
Address: Level 29, 31 Market Street
Sydney, NSW, 2000, Australia
Phone: + 61 1300 858 952
Email: support@vantagefx.com.au

You may provide instructions to us by telephone, email or other means.

Financial services and products we are authorised to provide

Vantage FX is the providing entity and we are authorised by Vantage Global Prime Pty Ltd (Vantage Global Prime) (Australian Financial Services Licence No. 428901) to provide you with general financial product advice in relation to:

- derivatives;
- foreign exchange contracts;

When we provide financial services to you we do so as a representative of Vantage Global Prime. Vantage Global Prime acts as principal in relation to the financial services we provide you.

Please note that Vantage FX does not provide personal advice (advice that takes into account your financial situation, objectives and needs) in relation to financial products.

Vantage FX will only provide you with general advice. General advice is where we may express an opinion or recommendation influencing you in making a decision in relation to a financial product, or a class of financial product, but where we have not considered your personal objectives, financial situation or needs. Therefore, any general advice we provide to you may not be appropriate to your needs, financial situation or objectives. Newsletters, trade alerts and research papers are examples of general advice we may give you

Any general advice we provide to you as a retail client does not take account of your financial situation, objectives or. Before acting on any general advice, you should consider the appropriateness of the advice in light of your personal circumstances.

In providing our services, other financial issues may arise. We are not authorised to assist in relation to those financial issues, or any other issues except those described above. You should seek specific advice from the appropriate professionals on other matters

How do we get paid?

Our directors and employees (including any employees of a related body corporate) are remunerated by way of salary and other employee benefits.

By using or continuing to use our services, you agree that all fees and charges received by Vantage FX as described in this FSG are a benefit given to Vantage FX by you in exchange for the services provided by Vantage FX.

Our authorising licensee's, Vantage Global Prime, directors and employees (including employees of related bodies

corporate) are remunerated by way salary and other employee benefits. They may also be eligible for a discretionary bonus related to business objectives. Certain employees, directors and employees of Vantage Global Prime may also receive up to 100% of all fees and commissions generated from their clients depending on their adherence to compliance procedures, team and overall company performance.

Vantage Global Prime shareholders will also receive a benefit based on Vantage Global Prime's ongoing company performance.

Compensation arrangements

Our licensee, Vantage Global Prime, has compensation arrangements in place to maintain adequate professional indemnity insurance as required by s912B of the Corporations Act 2001. This insurance provides cover for claims made against its representatives (including us).

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 and contact details;
- Copies of relevant documents; and
- Details of what you are seeking to resolve your complaint

Vantage FX will provide you with a written acknowledgement of the complaint as soon as practically possible after its receipt. We will endeavour to provide a final response to your complaint 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 have the right to refer your complaint to the Australian Financial Complaints Authority (AFCA) which is an external complaints service of which our licensee (Vantage Global Prime) is a member (member number 30840).

AFCA's contact details are:

Website: www.afca.org.au

Email: info@afca.org.au

Phone: 1800 931 678 (free call)

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

Associations and Relationships

Vantage FX Pty Ltd is a related body corporate of its authorising licensing Vantage Global Prime Pty Ltd.

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 (Cth). Our full privacy policy is available from our website www.vantagefx.com.au

Anti-Money Laundering Obligations

As a financial service provider, we have an obligation under the Anti Money Laundering and Counter Terrorism

Financing Act 2006 (Cth) 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 license. 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 or another financial institution as advised by our licensee.