

**tastytrade Australia Pty Ltd  
Financial Services Guide**

Issue date February 14, 2023

**1. What is the purpose of this Financial Services Guide?**

This Financial Services Guide (**FSG**) is an important document designed to assist you in deciding whether or not to use any of the financial services offered by tastytrade Australia Pty Ltd (ACN 623 542 969, Australian Financial Services Licence (AFSL) Number 508867) (**tastytrade Australia, we, us, our**). It contains information about the financial services we provide, and remuneration that may be paid to us for the services provided.

This FSG also contains information about how we deal with complaints. We are required to provide you with this FSG when we provide certain financial services to you, and you are a retail client. This FSG is not intended for 'wholesale clients' as defined by the Corporations Act 2001.

References to 'you' and 'your' refer to recipients of our financial services who are not wholesale clients.

This FSG contains information about us, in relation to:

- the financial services we are authorised to provide;
- how we take responsibility for the conduct of our representatives;
- how we and others are paid in connection with those services;
- our professional indemnity insurance;
- how we deal with your privacy;
- how we deal with complaints; and
- how we can be contacted.

**2. About tastytrade Australia**

tastytrade Australia has a referral arrangement with tastytrade, Inc (tastytrade U.S., TT US) a U.S. registered introducing broker servicing the self-directed investors. tastytrade U.S is regulated by FINRA (Financial Industry Regulatory Authority), SEC (Securities and Exchange Commission), NFA (National Futures Association) and the CFTC (Commodity Futures Trading Commission) and is a member of FINRA, NFA and SIPC (Securities Investor Protection Corporation). tastytrade, Inc. is an affiliate company of IG Group Holdings PLC.

**3. tastytrade Australia's financial services**

tastytrade Australia is authorised to provide general financial product advice; arrange for the issue of, derivatives, securities and managed investment schemes to retail clients; and issue standard margin lending facilities. When we provide these services, we will be acting on your behalf and not on behalf of any product issuer.

We are only authorised to provide general financial product advice. We are not authorised to provide personal advice and recommend that you consult with a personal advisor on the appropriateness of any transactions you are considering in meeting your personal financial situation, needs and investment objectives.

#### **4. How tastytrade Australia will be paid for the financial services we provide**

We generate income from referring new Australian brokerage clients to tastytrade U.S. tastytrade Australia will perform marketing and promotional activities in an effort to refer new Australian brokerage clients to tastytrade U.S. In return for these services, tastytrade U.S. will pay a negotiated fee that is not contingent on customers referred. No fees are charged by us to our Australian clients for providing financial services.

Our employees may be remunerated by salary payments, and contractors may receive payments based on referral of clients, consulting activities, and any general works to the tastytrade U.S.

There are no application fees, establishment fees or account keeping fees. A client's trading activity may be subject to applicable tax, regulatory, exchange and clearing fees. The current fees and charges that apply to your margin lending facility are found in our Margin Loan Product Disclosure Statement.

For a list of our charges for specific activities such as banking fees, trade related fees and single-listed exchange proprietary index option fees please refer to the list on our website at <https://tastytrade.com.au/pricing>. Fees, interest rates and charges are subject to change at any time.

#### **5. Professional Indemnity Insurance**

We have professional indemnity insurance in place that satisfies the requirements for compensation arrangements under section 9128 of the Corporations Act 2001. This covers the services provided by us and our representatives, including after they cease working with us.

#### **6. Your Privacy**

Your privacy and personal information are important to us. Under the Privacy Act 1988 we are required to have a privacy policy and will manage your personal information according to that policy. If you choose to open an account with us, we may be provided with a copy of your personal information in order to provide information and market updates to you. A copy of our privacy policy is available on our website [www.tastytrade.au](http://www.tastytrade.au).

#### **7. Dispute Resolution**

In the unlikely event of you having any reason to feel dissatisfied with any aspect of our service, please contact us using the contact details noted in the 'Contact details' section of this FSG.

If your complaint was not resolved to your satisfaction, you may escalate the matter to the Compliance Department by writing to [compliance@tastytrade.au](mailto:compliance@tastytrade.au). The Compliance Department will carry out an impartial review of the complaint with a view to understanding

what did or did not happen and to assess whether we have acted fairly within our rights and have met our contractual and other obligations. A full written response will be provided within 30 days of receiving the complaint and often much sooner.

If you do not feel your complaint has been resolved to your complete satisfaction, you may then refer the matter to our independent external resolution authority. Australian clients should refer their dispute to the Australian Financial Complaints Authority (AFCA).

AFCA is an independent organisation established to resolve disputes between financial institutions and their customers. You should note that AFCA will not consider a complaint until we have had the opportunity to address the complaint, and any reference to AFCA cannot be made by you until you receive a final response from us or 30 days after the date of your complaint, whichever is sooner.

**Contact AFCA:**

Australian Financial Complaints Authority

GPO Box 3, Melbourne, VIC 3001

Free call: 1800 931 678

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

Further information can also be found at [www.afca.org.au](http://www.afca.org.au)

**8. Contact Details**

T: +61 02 8317 1402

A: tastytrade Australia Pty Ltd  
L 17, 123 Pitt St, Sydney NSW 2000

E: [support@tastytrade.au](mailto:support@tastytrade.au)