

Financial Services Guide tastytrade Australia Pty Ltd

ABN: 61 623 542 969
AFSL: 508867
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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 (ABN 61 623 542 969, 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* (Cth) (**Corporations Act**).

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

This FSG contains information about us, concerning:

- the financial services we offer and 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. Who are we and what services do we provide?

tastytrade Australia promotes and arranges access to a bespoke brokerage platform that tailors to the unique needs of our customers trading styles and account size, that is operated by tastytrade, Inc., a U.S. company (**tastytrade U.S.**) that is an affiliate of ours.

The financial service referred to in this FSG is an 'arranging service'. When providing the arranging services, we will act on your behalf for you to receive services and products offered by tastytrade U.S. We are authorised under an AFSL to provide you with arranging services.

We are not authorised to provide personal advice and recommend that you consult with a financial adviser on the appropriateness of any transactions you are considering in meeting your personal financial situation, needs and investment objectives. We will only provide you with factual information. In providing information we do not take into account your particular financial objectives, circumstances or needs. You may wish to consult a financial adviser to help you form your own opinion on this information, and on whether a particular product is suitable for your individual needs and goals as an investor.

3. 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 us a negotiated fee that is not contingent on the number of customers referred. No fees are charged by us to our Australian clients for us providing financial services.

Our employees may be remunerated by salary payments, and contractors may receive payments based on the referral of clients, consulting activities, and related activities.

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.

For a list of the charges for specific activities such as, but not limited to, banking fees, trade related fees and single-listed exchange proprietary index option fees please refer to the list at <https://tastytrade.com/commissions-and-fees/>. Fees, interest rates and charges are subject to change at any time.

4. Professional indemnity insurance

We have professional indemnity insurance in place that satisfies the requirements for compensation arrangements under section 912A of the Corporations Act. This covers the services provided by us and our representatives, including after they cease working with us.

5. Your privacy

Your privacy and personal information are important to us. Under the *Privacy Act 1988* (Cth) we are required to have a privacy policy and will manage your personal information according to that policy. A copy of our privacy policy is available on our website www.tastytrade.com.au.

6. 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 is not resolved to your satisfaction, you may escalate the matter to our Compliance Department by writing to 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 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
Further information can also be found at www.afca.org.au

7. Contact details

For all client disputes or complaints, please contact us at:
T: +61 02 8317 1402
A: tastytrade Australia Pty Ltd
L 17, 123 Pitt Street, Sydney NSW 2000
W: <https://tastytrade.au/external-complaints-policy/>
E: support@tastytrade.au