

GO Markets Securities Pty Ltd

# Financial Services Guide- Share Trading

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GO Markets Securities Pty Ltd ABN 24 653 400 527 is a Corporate Authorised Representative (CAR No.1292963) of GO Markets Pty Limited ABN 85 081 864 039



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## 1. About GO Markets.

GO Markets Securities Pty Ltd (“GO Markets”) is a company incorporated in Victoria, Australia (ACN 653 400 527), a Corporate Authorised Representative (No.1292963) of GO Markets Pty Limited (AFSL 254963).

GO Markets provides ASX and Cboe Share Trading Services, and our contact details as below:

Company Name:	GO Markets Securities Pty Ltd
Address:	Level 11, 447 Collins Street, Melbourne, VIC 3000, Australia
ABN:	24 653 400 527
Licensing:	GO Markets Securities Pty Ltd is a Corporate Authorised Representative (CAR 1292963) of GO Markets Pty Ltd, ABN 85 081 864 039 with AFSL Number 254963
Phone:	1800 885 571 (free call within Australia) or +61 3 8566 7680
Email:	<a href="mailto:operations.shares@gomarkets.com">operations.shares@gomarkets.com</a>
Web:	<a href="http://www.gomarkets.com/au">www.gomarkets.com/au</a>

## 2. Purpose of this FSG

This Financial Service Guide (“FSG”) is prepared by GO Markets and is designed to tell you about the financial Products and Services that we offer under our AFSL to assist you in deciding whether to use any of the Products and Services offered by GO Markets.

This FSG contains important information e.g:

- the financial services we offer;
- how we and other relevant persons are paid for those services;
- the capacity in which we act when we provide financial services;
- our internal and external dispute resolution procedures and how you can access them;
- Professional Indemnity Insurance; and
- how you can contact us.

## 3. Important Disclosure Documents

The Terms and Conditions is a document which outlines all the terms that you are and GO Markets are bound by. It provides valuable information about platforms, including risks and cost associated with dealing with GO Markets.

[FinEx Terms of Trades](#) is a document by FinClear Execution Limited who is the clearing and settlement participant of GO Markets Securities. These terms govern your share trading transactions.

[Macquarie Product Information Statement \(PIS\)](#) describes the features of the Cash Account and, together with the Macquarie Electronic Banking Terms and Conditions, contains the terms which apply to its operation. Before deciding whether to open an account, please carefully read this document and the Macquarie Electronic Banking Terms and Conditions, available on [macquarie.com.au/digital-banking/electronic-banking-terms-and-conditions](http://macquarie.com.au/digital-banking/electronic-banking-terms-and-conditions).

You should read and understand these documents before making any decision about whether to use these financial Products or Services.

## 4. GO Markets' Privacy Policy.

We value the privacy 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 (Privacy Policy) is available on our website [www.gomarkets.com/au](http://www.gomarkets.com/au). If you would like a copy of the Privacy Policy, or wish to seek access to, or correct the personal information we collect or disclose about you, please contact us.

## 5. The Financial Products we are authorised to provide to you.

GO Markets Securities as CAR of GO Markets Pty Ltd has been authorised to provide the following to retail and wholesale clients:

### a. Provide general financial product advice in relation to:

- i. Deposit and Payment Products limited to basic deposit products; and
- ii. Securities.

### b. Deal in:

- i. Deposit and Payment Products limited to basic deposit products; and
- ii. Securities.

GO Markets does not provide you with personal advice. In particular, we will not advise you when and if to open, maintain or close a position. We discuss this in more detail in section 7.

## 6. Financial Products and services we offer .

GO Markets Securities' financial products include:

- ASX and Cboe Shares including Exchange Traded Funds (ETFs) and Listed Investment Companies (LICs).
- Deposit and payment using a Cash Management Account (CMA)

## 7. What is General and Personal Advice?

Our CAR authorisations allow us to only provide general financial advice when you avail GO Markets' financial Services.

### 7.1 What is general advice?

Any advice provided by GO Markets is general advice only and will not consider your personal circumstances. As a result, you should, before acting on the advice, consider the appropriateness of the advice and the financial Services, having regard to your own objectives, financial situation and needs. As GO Markets does not, and is not authorised to, provide personal financial services advice, you will not receive a Statement of Advice from GO Markets.

### 7.2 GO Markets does not give personal financial advice.

GO Markets will not give you any personal financial advice. You need to consider for yourself (or consult a financial adviser in relation to) the risks, benefits or suitability of any of the Services offered by GO Markets. All information provided is general in nature only and does not consider your personal

objectives, financial situation and/or needs. If you require any financial advice, you should contact a suitably qualified financial adviser.

You should read and understand the Terms and Conditions we have issued in respect of these financial Services and this FSG and other applicable documents we have issued before making any decision about whether to use such financial Services.

## 8. Who GO Markets acts for?

GO Markets is not a clearing participant of ASX and does not trade directly on Exchange on your behalf. Therefore, when you use our Services, this means GO Markets will, as your agent, instruct market participants with whom we have entered into such arrangements who will enter into trades on the Exchange, in accordance with your Orders you place with us via the trading platform. In relation to any orders placed by you with us to buy or sell any ASX and Cboe shares including Listed Investment Companies and Exchange Traded Funds (“ETFs”), the order will be placed on behalf of you by FinClear Pty Ltd (“FinClear”) who has the clearing and settlement obligations for all ASX transactions executed by FinEX.

GO Markets requires you to familiarise yourselves with the Exchange rules prior to engaging in Share Trading.

For guidance and information relating to the Share Trading rules, information may be available via our website. Alternatively, please contact our support or Trading desk for assistance prior to trading in Share Trading.

## 9. Instructions

You may give us dealing instructions by telephone or via our trading platform. Any other form of communication which is not a dealing instruction may be made by telephone, in person, or in writing by post, fax or email.

GO Markets may record telephone conversations between you and its employees. Such recordings, or transcripts from such recordings, may be used as evidence in any dispute or anticipated dispute between you and us.

## 10. What are the common fees, costs, and charges that I will pay when trading in GO Markets’ Products?

Listed below are some of the main items of fees and charges:

Service	Cost incl GST	Details
Brokerage Fee	\$7.70 per trade	below \$100,000
Brokerage Fee	0.05% Per trade	above \$100,000
Phone orders	\$22.00 per order	Contact telephone 038566 7680
Pro trading Platform incl live prices and market depth	\$82.5 per month	Customizable web based widgets trading platform. Platform provided by FinClear.

## Financial Services Guide – Share Trading

Mobile Trading Platform	Nil	Shares by GO Markets Securities
Web Trading Platform	Nil	Shares by GO Markets Securities
ASX Streaming Data (Retail)	\$27.5 per Month	
ASX Streaming Data (Professional)	\$121 per Month	
ASX Delayed Data	Nil	
ASX Snapshot Level 1 Data	NIL for the first 2,000 refresh/clicks per user, per month.	Subsequent refresh/clicks are charged at \$0.011 per Request
ASX Snapshot Level 2 Data (Depth and Course of Sales)	NIL for the first 2,000 refresh/clicks per user, per month.	Subsequent refresh/clicks are charged at \$0.0165 per Request
ASX Market Announcement Real-time PDF Download and Headline	\$55.00 per Month	
ASX Market Announcement Delayed PDF Download and Headline	Nil	
Off Market Transfer fee	\$27.50 per security	
SRN Requests	\$22.00 per holding	
Bookings Correction	\$27.50 per security	
Manual bookings	\$11.00 per trade	
Cash – Dishonour fee	\$55.00 per failed trade	Insufficient funds to settle a Buy trade

Stock – Initial fail fee	\$275.00 per failed trade	Insufficient holdings to settle a Sell trade
Stock – subsequent fail fee	\$100 or 0.10% capped at \$5,000 per security per day (subject to change)	Insufficient holdings to settle a Sell trade.

Included within the commission will be the market participant, trade execution and settlement provider fees.

Full details of brokerage, commission or transaction fee payable by you is in the Share Trading Service Terms and Conditions entered into between you and GO Markets.

In addition to these commissions, GO Markets will require you to reimburse it for any fees levied by market operator for clearing and settlement facility in respect of transactions entered into by GO Markets for you.

As authorised by you, GO Markets through FinClear will arrange to debit from your Macquarie “CMA” when a transaction has been completed in consideration for services rendered.

## 11. Benefits

Our employees are remunerated by way of salary, and other employee benefits such as discretionary bonuses. Discretionary bonuses are calculated according to a number of factors including non-financial factors and the general operating performance of the company including Compliance.

The bonus does not influence the general advice provided as a balanced approach to calculating the bonus is followed.

No related body corporate of GO Markets nor any director of GO Markets or of any related body corporate of GO Markets receives commission attributable to the products.

## 12. Third-Party referrals

GO Markets may enter commercial arrangements with external parties or other financial service providers. For their own commercial benefit, a referring party may nominate an additional spread or monetary fee to be charged to the referred client.

Where the Conflicted Remuneration provisions of the Corporations Act apply, any such payment to third parties will only be made with your clear consent.

If you trade with GO Markets through a referrer, the referrer may have its own schedule of fees, and you should separately check them. We can, at our discretion, enter arrangements with referrers, who may directly or indirectly introduce you to us. GO Markets may pass on a proportion of the fees, dealing spread, financing charges and other charges applicable to your account to such referrers as consideration for the services the referrer provides to you.

## 13. Complaints and Disputes

13.1 Complaints and Disputes can be lodged with Share Trading - Operations team by telephone on +61 3 8566 7680 or 1800 88 55 71 or by any other means of communication. If you make a verbal Complaint, the Share Trading - Operations team will attempt to resolve it with you as soon as possible. You may also appoint a representative to lodge complaints with us on your behalf.

13.2 However, if the complaint cannot be resolved verbally, you should submit the complaint in writing by email to the attention of Head of Share Trading – Operations on [support@gomarkets.com](mailto:support@gomarkets.com) or by mail to Level 11, 447 Collins Street, Melbourne, VIC, 3000, Australia

13.3 The complainant will be sent an acknowledgement by the next working day unless there are exceptional circumstances that the Complaint has been received.

13.4 Please keep your own record of dates or times of Trades and other issues as that will help us to investigate any complaints or disputes. It may be difficult or not reasonably possible for us to locate records/tapes in relation to Trades and other issues in the absence of information about the dates and times of any Trades or other issues in Dispute.

13.5 **Internal Dispute Resolution:** We operate an Internal Dispute Resolution policy to enable us to deal promptly and fairly with complaints. Any complaint or Dispute will in the first instance be handled by Head of Share Trading - Operations and thereafter by the Compliance Manager.

13.6 If either you or we notify the other party of a Dispute, you and we will consult in good faith in an attempt to resolve the Dispute in a timely manner, including, without limitation, by exchanging any relevant information and by identifying and using any Agreed Process which can be applied to the subject of the Dispute or, where no such Agreed Process exists or you and we agree that such Agreed Process would be unsuitable, determining and applying a resolution method for the Dispute. We will resolve most Disputes within 30 days.

13.7 We will respond to any communication, complaint, claim or dispute in English. Any translation provided shall be for convenience only and to the extent there is a conflict between the English version and any translation, the English version shall prevail.

13.8 **External dispute resolution process:** If you remain dissatisfied with our investigation or handling of your complaint or dispute you may refer the matter to the Australian Financial Complaints Authority (“AFCA”):

Post: GPO Box 3, Melbourne VIC 3001. Email: [info@afca.org.au](mailto:info@afca.org.au)

Website: [www.afca.gov.au](http://www.afca.gov.au)

Tel: 1800 931 678 (free call)

In particular, you have a right to refer your complaint or dispute to AFCA if you are classified as a Retail Client and were classified as such at the time of the event giving rise to the complaint or dispute. The services provided by AFCA are free of charge. Further information on AFCA can be found on its website [www.afca.org.au](http://www.afca.org.au).

## 14. Professional Indemnity Insurance

In compliance with s912B of the Corporations Act and ASIC Regulatory Guide 126, we maintain professional indemnity insurance in connection with the financial products and services we provide. This policy covers claims made against GO Markets in relation to professional services provided by our current and former employees in respect of any loss or damage suffered by you due to a breach by us



of our regulatory obligations. This policy covers claims made against GO Markets in relation to professional services provided by our current and former employees.