



Financial Services Guide

FX Evolution Pty Ltd

ABN 72 154 665 102

Corporate Authorised Representative No. 462795

This Financial Services Guide (FSG) is dated 3 November 2016 and is provided to you by FX Evolution Pty Ltd (FX Evolution, we, our, us), ABN 72 154 665 102, to inform you of the financial services provided by us and to comply with our obligations as a Corporate Authorised Representative (CAR) (CAR No. 462795) of Trend Investor Services Proprietary Limited (Trend), ABN 65 061 768 670, who is the holder of an Australian Financial Services Licence (AFS Licence No 255475).

This FSG is meant to assist you to decide whether to use our services and to explain:

- who we are
- what authority we have been issued and by whom
- what financial services we provide and the products to which those services relate
- what our responsibilities are and what type of advice we give
- how you can instruct us
- what you can expect to pay for the financial services
- what remuneration and other benefits may be paid to us, our employees or others
- what to do if you have a complaint, and how it will be dealt with
- for what purpose we use your contact data
- how you can contact us

This FSG contains only general information about the services we offer. If you still have any questions after reading this FSG, please contact us. Our contact details are listed at the end of this document.

What other disclosure documents and statements will I receive?

Although it is not our policy to provide personal advice, if we do provide you with personal advice or further assistance in selecting products or services having regard to your particular circumstances and needs, we will, where we are required to do so under the law, issue you with a **Statement of Advice (SoA)** that will set out the personal advice we have given you, including any recommendations we offer along with our rationale for our recommendations and information about any fees, commissions, associations or relationships which might influence the provision of that advice.

If we provide to you a SoA, we may provide further advice to you after we have given you a SoA. If we have not provided you with a record of the further advice you may request, either verbally or in writing, a record of further advice within 7 years (or as prescribed by law) of us providing the further advice.

Generally, where we arrange for the issue of a financial product to you, you will receive a **Product Disclosure Statement (PDS)** or other relevant disclosure documents that include information about the product so that you can make an informed decision whether to acquire the product. It would include any relevant terms, significant risks and costs associated with the supply of that financial product.

How you can instruct us and your obligations?

We will accept order instructions via telephone, email or facsimile.

You must check and confirm with us that orders sent via fax or email, have in fact been received by us.

You must review any confirmation or statement we send to you immediately upon receipt to ensure its accuracy and report any discrepancies to us.

If you have any enquiries you can contact us by telephone, email or facsimile.

Who are we and what services are we authorised to provide?

FX Evolution is a CAR (CAR No. 462795) of Trend (AFS Licence No 255475). Trend has authorised FX Evolution, as a Corporate Authorised Representative, to provide advice on and deal in the following classes of financial products:

- Derivatives; and
- Foreign Exchange Contracts.

We act on our own behalf when providing a service to you. We act under the authority granted to us by Trend as a CAR of Trend when we provide services to you. We can offer our services to both Wholesale and Retail clients.

FX Evolution was incorporated in December 2011 and is a provider of financial services to retail and wholesale clients. FX Evolution is a trading company based in Melbourne, Australia. Its offers services in Forex and CFD's (e. based on Stocks, Metals and Indices) and Options.

What information do we offer to you, as our client?

We can offer you factual market data and information, including general advice, regarding those products and services our authority as granted by Trend permits us to provide. The products on which we may provide this information include:

- Over-the-counter Foreign Exchange Contracts such as margin FX;
- Over-the-counter derivatives such as Contracts for Difference (CFDs) based on stocks, metals and indices; and
- Client education seminars (product awareness and trading skills)

What are our responsibilities and what type of advice do we give?

It is our policy to ONLY provide **general advice** and information regarding financial products and services that can be dealt through us. This information or advice does not take into account your particular objectives, financial situation or needs and because of that you should,

before acting on the advice, consider the appropriateness of the advice having regard to your objectives, financial situation and needs.

It should be noted that clients who open an account will be requested to provide some information relating to their financial circumstances and risk profile. This information is collected so that we can receive some reassurance that you will be able to finance any trading that you enter into and that your attitude to risk is comparable to that of the financial products you intend to trade.

Details of Associations or Relationships we have with product issuers or related body corporates that may influence us when providing services to you?

FX Evolution has a relationship with Trend, the AFS Licensee that has granted FX Evolution an authority to provide financial services to clients.

FX Evolution has a relationship with Pepperstone Group Limited (Pepperstone) which is the third party service provider that you will open an account with for the purpose of receiving dealing services. This relationship in no way influences the provision of financial services by FX Evolution to you.

The costs, remuneration and other benefits that may be received by us, our employees and others?

The information in this section is subject to change and does not include information in relation to taxes or duties that you may be required to pay in relation to an investment. Unless otherwise stated, all fees, charges, commissions and benefits disclosed in this FSG are exclusive of the Goods and Services Tax (GST).

Transaction Fees

In order to receive our service you will be required to open an account with Pepperstone. Pepperstone will charge you a transaction fee each time you trade. The rates that apply to your account will be provided to you by Pepperstone when you open your account. FX Evolution and Trend may receive a portion of the transaction fee charged to you by Pepperstone. The amount that Trend and FX Evolution are entitled to receive will be separately agreed in writing.

Employee remuneration

Our employees may be remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus related to business objectives.

If you have a complaint, how it will be dealt with?

If you wish to make a complaint, you should contact the Director of FX Evolution, Mr Thomas Atkinson can be contacted on (03) 9028 5234 or by email thomas@fxevolution.com.

If you are not satisfied with the manner in which we have dealt with your complaint, you may contact Trend's Compliance Officer on (07) 5532 7118 and discuss the matter with them.

As a CAR of Trend, FX Evolution must comply with the Complaints Resolution Procedure implemented by Trend. Trend has a formalised client complaint resolution procedure. All complaints are reviewed and investigated by Trend's Compliance Officer. If you make a complaint, our first response will be to contact you to discuss the complaint and to register a formal record of such complaint. We will try to resolve your

complaint quickly and fairly. In resolving your complaint we will be utilising the resources provided to us by Trend.

If, despite our best efforts, you believe your complaint has not been satisfactorily dealt with, we offer clients the use of an independent industry arbiter, namely, the Financial Ombudsman Service (FOS). Trend has agreed not to contest a final resolution from FOS.

You can contact FOS by writing to:

Financial Ombudsman Service
GPO Box 3
Melbourne VIC 3001
Toll Free: 1300 780 808
Facsimile: (03) 9613 6399
Website: www.fos.org.au

In accordance with Regulatory Guide RG126 and Section 912B of the Corporations Act 2001, Trend has Professional Indemnity Insurance in place which covers the work done for it by its representatives and employees.

For what purpose do we use your contact data?

Privacy is an important issue for us and we are committed to ensuring full compliance with Privacy Act requirements.

The personal data that we collect from you will only be used by us to assist in the planning of marketing proposals, education seminars and provision of general product advice to clients.

How you can contact us or Trend?

FX Evolution Pty Ltd

Telephone: (03) 9028 5234
Mobile: (0417) 155 523
Email: tyrone@fxevolution.com
Mail: 5602/7 Riverside Quay
Southbank VIC 3006
Website: www.fxevolution.com

Trend Investor Services Pty Limited

Telephone: (07) 5532 7118
Facsimile: (07) 5561 1688
Email: info@trendinvestorservices.com.au
Mail: PO Box 1755 Southport QLD 4215
In person: Unit D, 4 Railway St, Southport QLD 4215
Website: www.trendinvestorservices.com.au