



Issue Date: 16 November 2023

Share Prices Australia Financial Services Guide

Share Prices Australia Pty Ltd (Share Prices)

ABN 92 105 855 892, Australian Financial Services Licence No. 287367

This Financial Services Guide



Details

This Financial Services Guide (FSG) is dated the 23 October 2023 and is issued to you by Share Prices Australia Pty Ltd, (AFSL No 287367) (Share Prices).

What is the purpose of this Financial Services Guide?

The purpose of this FSG is to provide clients of Share Prices with key information about the financial services that are provided by Share Prices. It is designed to give you information required to make an informed decision about whether to use those financial services.

What this FSG contains

This FSG contains information about:

- who we are and how we can be contacted
- the services and types of products we are authorised to provide
- how we (and any other relevant parties) are remunerated
- internal and external dispute resolution procedures and how you can access them.

Who we are and how we can be contacted?

Share Prices is an Australian registered company whose head office is located at Level 27, 25 Bligh Street Sydney 2000. Share Prices holds an Australian Financial Services Licence (No. 287367) and is regulated by the Australian Securities and Investment Commission.

Share Prices acts for itself. If you have any queries about this FSG or the services provided, you can contact Share Prices at:

Telephone: 1300 123 345

Email: members@shareprices.com.au

Website: <https://shareprices.com.au>

Level 27, 25 Bligh Street, Sydney NSW 2000

Other documents you may receive:

Product disclosure documents

A product disclosure statement (PDS) may be issued by Share Prices for Share Prices Products. A PDS is a document (or group of documents) that makes disclosures about a financial product (other than securities). A PDS contains important information to assist you in making a decision about the product. You will receive a PDS if a recommendation is made to acquire a particular financial product or an offer is made to issue or arrange the issue of a financial product.

Transaction Documents

The provision of financial products and services by Share Prices will be undertaken in accordance with the terms and conditions detailed in the documentation that you will either receive from us or have downloaded from our website with respect to the relevant financial service provided to you.

What Financial Services are we authorised to provide?

The services provided by Share Prices are limited to:

- (a) providing general financial product advice only for the following classes of financial products:
 - (i) derivatives;
 - (ii) foreign exchange contracts; and
 - (iii) Securities

dealing in a financial product by:

- (i) applying for, acquiring, varying, or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) derivatives;
 - (B) foreign exchange contracts; and
 - (C) Securities

to retail and wholesale clients.

Share Prices does not provide personal advice and only provides general financial product advice to you only and will not take into account your “objectives, financial situation and needs”.

Share Prices is acting for itself when it provides its financial services to you.

Our relationship with you

Share Prices is responsible to you for any financial services which Share Prices provides to you.

How you can instruct us and your obligations

Share Prices accepts order instructions in any of the following ways:

- electronically, via electronic trading platform;
- if we agree via telephone; and
- if we agree in writing (including email if authorised by you), you must check and confirm with us that orders sent via email have in fact been received by us.

It is your obligation to review any confirmation or statement we send to you to ensure its accuracy and report any discrepancies to us immediately.

If you wish to discuss your account, obtain information about the type of portfolio in which you are invested, reporting or to update your personal information, you should contact Share Prices.

Reporting

Whenever a transaction is executed on your account, a confirmation or statement will be sent to you or downloaded via the online trading platform. The confirmations may be delivered electronically to you, if authorised by you, according to Share Prices and the other person’s requirements.

Since Share Prices only gives general advice and not personal advice, Share Prices will not keep records for investment or advice purposes, advice or recommendations for the services covered by this FSG.

Record Keeping

Share Prices seeks to ensure that comprehensive and accurate records of client profiles are properly maintained.

How we are remunerated

You may pay Share Prices a fee depending on the type and level of services provided to you, the exchange upon which the transaction is to be conducted (if any), the frequency and volume of transactions executed, the financial products you choose and the amount you invest. In particular, Share Prices may receive fees and other benefits from the financial products that it issues to you. Unless otherwise stated, all fees, charges, commissions and benefits disclosed in this FSG are inclusive of goods and services tax (GST).

Equities fees and rates

The standard fees you will typically be charged for transactions in ASX-traded equities are 1.1% (GST included) of the transaction value subject to a minimum of \$82.50 but subject to a maximum of 1.65% and \$150 (GST included).

If your transaction is not typical (e.g. due to significant size relative to liquidity of the stock or is traded overseas), we may negotiate with you a different fee. Fees for transactions made on exchanges other than an ASX are available on request.

ASX Derivatives fees

The standard fees you will typically be charged for exchange-traded derivatives are 1.1% (GST included) of the premium amount subject to a minimum of \$82.50 subject to a maximum of 1.65% and \$150 (GST included).

OTC Transaction fees

The fees, costs and charges for OTC Transactions are disclosed in the PDS for those products.

Other financial product providers and fees and commissions

Each Share Prices advisor may arrange for financial services and products to be provided to you by other product providers. Share Prices may receive commission payments as a result of you using their products or services.

If you have been referred to Share Prices, the referrer may receive part of any brokerage or fee received by Share Prices or you may be asked by the referrer to pay them a fee out of your Prime Account.

The amount paid or received by Share Prices (or its representatives) will depend on Share Prices's arrangements with the referrer.

General

Note that the fees, charges or other costs listed below which are imposed by other persons are correct at the date of this FSG but are subject to change without notice to you. These are amounts which you are liable to pay because of your contractual arrangements with other persons, such as executing brokers or clearing participants, even though Share Prices may be arranging your transactions.

Fail fees and default charges

When your account does not have available the financial products necessary to meet your settlement obligation, or if you do not provide us with sufficient funds in time to settle market obligations in relation to a buy transaction, you will be charged fail fees, which will be the greater of \$55 and the daily fail fee, which is calculated at 16.5% per annum calculated daily of the settlement consideration for each failed buy transaction settlement. In relation to sell transactions, you will be charged fail fees, which will be the greater of \$100 and the daily ASX fail fee, for each failed sell transaction settlement.

Your executing broker or clearing participant may also charge you interest at default rates disclosed by them in their documents given to you. We may also be liable to your executing broker or clearing participant for your default and we may charge you for that cost to us for meeting the liability arising from your default. If the fee (including interest) charged to Share Prices for your default is partly attributable to the overall balance of all Share Prices accounts, Share Prices may adjust the fee to you (up or down) to an amount commensurate with the cost of your default (so that other clients do not subsidise your default).

If you owe an amount to Share Prices and you have not paid that amount, Share Prices may charge interest on that outstanding amount, even if it relates to your liability to a person appointed by you. The rate will be the rate set out or described in any agreements with you or, if not specified or described, at the rate charged to Share Prices for such defaults or, if that is not applicable, Share Prices's prevailing debit interest rate determined by it from time to time.

Additional fees may be charged for transactions and services, including but not limited to international transfers, bank cheques and additional account administration fees.

FEE DETAILS	AMOUNT
Bank Dishonour Fee	\$82.50
Manual booking Fee	\$33.00
Re-booking Fee	\$33.00
Customer Trace Fee	\$30
Real Time Gross Settlement (RTGS) (Domestic)	\$55
Off Market Transfers	\$55 per security
SRN Requests to Share Registries	\$27.50 per holding
Stock borrow fee	\$110
Mailed transaction confirmation	\$3.30 per confirmation

Share Prices may charge a fee for printing and postage of confirmations if you have the ability to receive electronic confirmations but have chosen not to do so. We may also charge reasonable amounts for additional reports or communications required by you. These fees will be advised to you prior to you requesting this information.

Detail of Associations or Relationships

Share Prices, who has a relationship with providers of broking, settlement and clearing services. These relationships do not materially influence the provision of financial services by Share Prices to you. Some of these services are available directly to you if you elect to receive them.

Disclosure of Relevant Conflicts of Interest

Share Prices has relationships with various parties whereby it pays fees or receives fees, charges or other remuneration (provided it is not banned conflicted remuneration). These parties may include (but are not limited to) product issuers, brokers, custodians, fund managers, banks, investment advisors, financial planners and other referral sources.

Share Prices has documented processes for controlling, avoiding and disclosing relevant conflicts of interests.

If the range of fees, commissions, charges or other benefits received by Share Prices from a third party is not disclosed in this financial services guide, we will update any disclosure to you as soon as we can.

How the service provider (and any other relevant parties) are remunerated

Share Prices may receive fees, charges or costs in its role as issuing Share Prices Products, which are disclosed in the PDS.

Share Prices has a policy and documented processes for controlling, avoiding, and disclosing relevant conflicts of interest to manage conflicts of interest that cover related party transactions and benefits or other remuneration from third parties.

Employees or authorised representatives of Share Prices may be remunerated through a combination of base salary and non-base salary compensation. The non-base salary may include a share of the commission, fees or other payments earned by the company (or an associate of it). The proportion of commission, fees or other payments shared with the employee or other representative is based on their level of experience, length of service with the respective company or its associate, the level of qualifications and market conditions, and ranges from 0% up to 55%.

In all cases, however, Share Prices does not pay remuneration to its employees or its representatives any remuneration which it is prohibited by law from paying to those persons.

Professional indemnity insurance

Share Prices has the benefit of professional indemnity insurance that complies with section 912B of the Corporations Act 2001. This professional indemnity insurance covers claims in relation to the conduct of current employees and past employees working for it and for its representatives.

Anti-Money Laundering

Share Prices has adopted a programme that complies with the AML/CTF Act. As part of this process, you will need to provide evidence of identification.

Dispute resolution

We want to know about any problems you may have with the service of Share Prices so we can take steps to resolve the issue.

Share Prices has an internal and external dispute resolution procedure to resolve complaints. A copy of these procedures may be obtained from the Share Prices website, or by contacting us and requesting a copy (free of charge).

If you have a complaint about the financial product or service provided to you, please take the following steps:

1. Contact Share Prices compliance division. You may do this by telephone, email or letter using the contact details below:

Share Prices Compliance Division
Level 27, 25 Bligh Street
Sydney NSW 2000 AUSTRALIA
Phone: +61 2 8277 6655
Email: members@shareprices.com.au

2. Share Prices will acknowledge the complaint immediately, or if not, as soon as practicable after receipt. Share Prices will endeavour to resolve your complaint and provide a final response as soon as practicable, but within 30 days of receipt of your complaint unless we advise you that we require more time due to the nature of your complaint or other reasonable consideration.
3. If you still do not get a satisfactory outcome, you have the right to complain to the Australian Financial Complaints Authority (AFCA). AFCA is an external complaints and dispute resolution body. The service to you is free. The contact details for AFCA are:
Australian Financial Complaints Authority
G.P.O. Box 3, Melbourne VIC 3001
Toll Free: 1800 931 678
Facsimile: +613 9613 6399
Website: www.afca.org.au
Email: info@afca.org.au
Share Prices - membership number 12124.
4. The Australian Securities and Investments Commission (ASIC) also has an Info line on 1300 300 630 which you may use to make a complaint and obtain information about your rights.

Privacy

At Share Prices, the privacy of your personal information is important to us. Our full privacy policy is available on our website <https://shareprices.com.au>

Recording of Telephone Conversations

We may record conversations between you and our employees or authorised representatives (with or without an audible tone). You may request a copy of the transcript of these recordings in anticipation of or in the event of a dispute. We may charge a reasonable administrative cost for providing this service.

