

# Wholesale Broking Solutions.

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## Financial Services Guide

[www.wholesalebroking.com](http://www.wholesalebroking.com)

25 November 2024

## About Us

Wholesale Broking Solutions (**WBS**), is a registered business name of Trade for Good Pty Ltd (**TFG**), ABN 41 643 105 999. Trade for Good is a Corporate Authorised Representative of BR Securities Australia Pty Ltd.

BR Securities Australia Pty Ltd (**BR**) is the holder of Australian Financial Services Licence (**AFSL**) number 456663. Trade for Good Pty Ltd (**TFG**), ABN 41 643 105 999 is an Authorised Representative (number 1282970) of BR.

References in this FSG to we, us or our is to WBS acting as an Authorised Representative of BR.

This Financial Service Guide (**FSG**) is designed to assist you in deciding whether to use WBS's services and includes such things as:

- who we are?
- our services
- what financial services and products do we offer
- how is your personal information dealt with?
- how we transact with you
- how we are paid, and
- complaint processes

## Contact Details:

BR Securities Australia Pty Ltd  
Level 5, 33 Queen Street, Brisbane, QLD, 4000.

Wholesale Broking Solutions Pty Ltd  
PO Box 256 Flinders Lane VIC, 8009  
Email: [info@wholesalebroking.com](mailto:info@wholesalebroking.com)  
Web Page: [www.wholesalebroking.com](http://www.wholesalebroking.com)

WBS is the entity providing the AFSL authorised services to you as a retail or wholesale client.

## What Financial Services are we authorised to provide?

WBS is authorised to:

- provide general financial product advice for securities, interests in managed investment schemes, basic deposit products and standard margin lending facilities.
- deal, by applying for, acquiring, or disposing of securities, interests in managed investment schemes, basic deposit products and standard margin lending facilities.

to and on behalf of retail and wholesale clients

The distribution of this FSG by WBS is authorised by BR.

## No Advice

We will not provide you with personal financial product advice about any of the financial products in which we deal. From time-to-time Wholesale Broking Solutions may provide information about the characteristics of particular financial products. This information is intended to be purely factual information, nonetheless we are authorised to provide general financial advice, advice that doesn't consider your personal situation.

## Our dealing service

Orders in relation to securities will be executed in accordance with our Market Participants Best Execution Policy. A copy of that Best Execution Policy is available at [www.wholesalebrokingsolutions.com](http://www.wholesalebrokingsolutions.com)

WBS's execution partner is an ASX Execution, Clearing and Settlement Participant of the ASX and CBOE, Australian Investment Exchange Limited (ABN 71 076 515 930 AFSL 241400) (**AUSIEX**) [www.ausix.com.au](http://www.ausix.com.au)

WBS doesn't handle any of your money. When you open an account with us, you also sign up for an account with (**AUSIEX**). WBS's execution partners provide WBS with the ability to arrange for clients to trade, clear and settle on the Australian Securities Exchange (**ASX**) and CBOE, as part of the clearing service for settlement of your transactions you may be required to have a linked cash management account from specified providers see "Linked Cash Management Account" below, prior to any trade. AUSIEX and the cash management account provider will provide their FSG and their terms and conditions.

If you wish to execute transactions using our services, you can give us instructions on our website or supported mobile devices. The method by which WBS will accept your instructions is subject to the terms and conditions of trading with AUSIEX. WBS will not accept instructions from you to execute transactions on your behalf that are received by phone, e-mail, fax or post.

### Linked Cash Management Account

To arrange trading on ASX or CBOE through WBS, you may be required to have a Macquarie Cash Management Account (**CMA**) which must be established and linked to your trading account. This account is for the purpose of settling transaction payments and fees on your account. When you open an account with WBS, you authorise and **AUSIEX** to direct debit and or credit those accounts.

If you have an existing CMA from the providers listed above, you can link this account instead as long as this account is in the same name as your trading account.

### How are we paid?

We are remunerated directly through the fees that we charge you. With respect to some financial products, we may also be remunerated by way of commission or other payments from a product issuer, subject to the conflicted remuneration provisions. Our employees are paid a salary and may also receive other benefits such as bonuses. We are not agents of **AUSIEX** and have engaged them on fixed fee commercial terms to execute transactions we have arranged for our clients. Our clients transact via us.

### Brokerage Schedule

Brokerage rates are agreed upon separately in the wholesale brokerage agreement form.

### What are your miscellaneous service fees?

Service	Fee (including GST)
Off Market Transfers	\$27.50
Paper Contract Note or Reprint of Paper Contract Note	\$3.85
Statement Reprint	\$11.00
Fail Fee – (Failure to Settle Trades/Debits)	Buys \$110 or 0.11%per day plus 15%p.a. calculated daily on outstanding amounts per day Sells \$110 per day plus ASX fail fees (fees are the greater of \$110 per fail per day and 0/11% per fail per day to a maximum of \$5,500 per day)

### Software and Data Fees

Wholesale Broking Solutions will arrange software subscription and data services through EQUIX Pty Ltd or IRESS Pty Ltd. Such services are not provided by Wholesale Broking Solutions, are not financial services and are not covered by the Wholesale Broking Solutions dispute resolution scheme.

The Software Terms and Conditions are available at [www.wholesalebrokingsolutions.com](http://www.wholesalebrokingsolutions.com)

### Privacy Policy

Available at [www.brsecuritiesaustralia.com.au/about](http://www.brsecuritiesaustralia.com.au/about), [www.wholesalebroking.com](http://www.wholesalebroking.com) and [www.tradeforgood.com.au](http://www.tradeforgood.com.au)

### Associations and Relationships

WBS's directors and related parties have no associations or relationships with any product issuers.

**Complaints**

Complaints can be lodged directly to the Complaints manager:

Mail: PO Box 256 Flinders Lane VIC 8009

Email: [info@wholesalebroking.com](mailto:info@wholesalebroking.com)

We will ensure that any complaint is properly considered and responded to swiftly, in most cases this will be within 10 days.

If you are not satisfied with our final response, or if you have not received a response after 45 days, you may lodge a complaint with our complaint handling procedure is as follows:

- if you are dissatisfied with any aspect of the service that has been provided to you, please email one of our Customer Service Officers [info@wholesalebroking.com](mailto:info@wholesalebroking.com)
- if our Customer Services Officers are unable to resolve your complaint to your satisfaction, please contact our CEO [alistairwarren@wholesalebroking.com](mailto:alistairwarren@wholesalebroking.com)

The representative will follow BR's internal dispute resolution policy, which includes sending you a copy of the policy when required to. If you aren't satisfied with an outcome, you can contact AFCA, see below.

BR is a member of the Australian Financial Complaints Authority (AFCA). AFCA provide fair and independent financial services complaint resolution that is free to consumers.

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

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

Telephone: 1800931678 (free call)

Mail: Australian Financial Complaints Authority, GPO Box 3, Melbourne, VIC, 3001.

**Professional Indemnity Insurance**

BR has in place Professional Indemnity Insurance which satisfies the requirements for compensation under s912B of the Corporations Act that covers Wholesale Broking Solutions.