

The Trading Game Pty Ltd

Financial Services Guide

The Trading Game Pty Ltd
ACN 099 576 253 AFSL 468163

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Section 1

The Purpose of this Financial Services Guide (FSG)

Financial Services Guide

This Financial Services Guide is dated 20th February 2015 and has been prepared by The Trading Game Pty Ltd ACN 099 576 253 (**TTG, we, us, our**). TTG holds an Australian Financial Services Licence (licence number 468163) authorising TTG to conduct the financial services described in this FSG.

The purpose of this FSG is:

- to ensure that you receive important information about the type of financial services we are authorised to provide to you;
- to assist you in deciding whether to use any of the financial services that we are authorised to provide to you;
- to provide you with information about the remuneration that we may receive in relation to financial services offered; and
- to provide you with details in relation to our complaints and dispute resolution procedures.

We provide general advice on securities, foreign exchange contracts and derivatives. We do not provide specific or personal advice. We do not consider your personal needs, circumstances or financial position when we make recommendations to you. You should consider if our advice is appropriate for you after you consider your needs, circumstances or financial position.

Please keep this guide for future reference. A copy is available from us on request or can be downloaded from our website at www.tradinggame.com.au

Section 2

Overview of The Trading Game Pty Ltd

A. Contact Details

Name: The Trading Game Pty Ltd

Registered Office Location:
Level 10, 369 Royal Parade, Parkville, Vic 3052

Telephone: 1800 784 426

Email: info@tradinggame.com.au
Website: www.tradinggame.com.au

B. Business Description

TTG offers securities, derivatives and foreign exchange education. This education is delivered through:

- face to face courses
- online courses
- videos, podcasts and downloadable electronic files (such as pdfs)
- written materials.

These courses and materials are all general in nature and relate to how instruments are traded or the structure of various markets. TTG does not recommend any financial product or offer any personal financial advice.

The directors of the Company are Louise Mary Bedford and Christopher Norman Tate. TTG has been providing these services since 2002.

Louise is a successful author of books on the sharemarket and has degrees in psychology and business. She is a key financial expert on Talking Trading (www.talkingtrading.com.au) and is a compelling speaker about the sharemarket and finance related matters. She is also a Mentor in the Trading Game Mentor Program.

Chris is also a successful author. He focuses on the development of intermediate and advanced traders, and is a key mentor in the Trading Game Mentor Program. He regularly appears on the Talking Trading weekly podcast and also runs keynote corporate presentations.

Section 3

Financial Services and Financial Products

TTG holds an Australian Financial Services Licence under which we are authorised to provide general financial product advice for the following classes of financial products:

- (i) derivatives;
- (ii) foreign exchange contracts; and
- (iii) securities;

to retail and wholesale clients.

We provide some or all of these services to our clients through our business operations as set out in section 2B. In providing such services, TTG is acting as principal.

Section 4

Fee Structure

How does TTG get paid?

TTG earns its income from fees paid:

- by participants in face to face delivery of seminars on various aspects of trading in securities, foreign exchange and derivatives;
- by recipients of online courses;
- for written, electronic and video-based educational materials.

For example, if TTG charged a participant \$1,000 for attending a seminar, TTG's revenue would be \$1,000.

TTG may also earn referral or advertising fees if a client of TTG opens an account with certain brokers, or for banner advertising on their website.

Section 5

Associations and Relationships

A. Personal information

We recognise the importance of ensuring that you have confidence in the way we handle your personal information. Personal information is any information about an individual that identifies the individual or by which their identity can reasonably be ascertained. We will collect personal information from you and use it to provide financial services to you.

We abide by the Australian Privacy Principles established under the Privacy Act 1998, as amended.

We may disclose your personal information to external contractors for the following purposes:

- email or postal notification;
- causing statutory audits to be conducted as required by law;
- maintenance and service of our information technology systems; and
- in the course of reviews by external consultants.

You can be assured that your information will be maintained on a confidential basis by any contractor to whom it is disclosed. We do not disclose your personal information outside Australia. See our Privacy Policy at <http://tradinggame.com.au/faqs/privacy/> for further information.

B. Association with other financial service providers

TTG has established relationships with other service providers such as brokers, advisors, research houses and issuers. This does not affect your rights and obligations with TTG.

C. Communicating with us

It is unlikely that you will be providing us with any specific instructions to act on your behalf. The method by which you communicate with us will vary depending on what type of financial service we are providing to you.

Section 6 Complaints

A. Dispute resolution

We want to know about any problems you may have with the services we provide to you so we can take steps to resolve the issue.

All complaints will be properly handled and investigated promptly. Should you still feel dissatisfied with the outcome, you may take your concerns to an external body for a resolution.

If you have a complaint about the financial services we have provided to you, please take the following steps:

1. Contact the TTG by emailing info@tradinggame.com.au and detail your concerns. We will aim to resolve it fairly within 48 hours. If no resolution is reached, then, you are welcome to contact our Complaints Officer.
2. You can contact the Complaints Officer by telephone, facsimile, or letter as follows:

The Complaints Officer
The Trading Game Pty Ltd
PO Box 7033
Wattle Park 3127

Telephone: +61 418998677
Facsimile: +613 80801655

We have internal dispute resolution procedures that meet the essential elements of Australian Standard 4269-1995 and other minimum requirements set out in ASIC Policy Statement RG 165 (Licensing: Internal and External Dispute Resolution). A copy of these dispute resolution procedures may be obtained by contacting TTG and requesting a copy.

3. You can also complain to the Financial Ombudsman Service Limited (FOS) in writing at:

Financial Ombudsman Service Limited
P.O. Box 3
Melbourne VIC 3001

TTG is a member of FOS's complaints resolution scheme and its membership number is 35807.

4. If you are still dissatisfied with the outcome, then you can contact the Australian Securities and Investments Commission (ASIC) on 1300 300 630. This is a Free Call Info line. This is another alternative that you may use to make a complaint and obtain information about your rights.

B. Compensation arrangements

TTG has in place Professional Indemnity Insurance that is required by the Corporations Act and which meets ASIC's requirements for Australian financial services licensees.