

## Financial Services Guide

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### 1. Introduction

1.1 Doo Financial Australia Limited (ACN 100 139 820) (“Doo Financial”, “we” or “our”) is an Australian Financial Services licensee regulated by the Australian Securities and Investments Commission (“ASIC”) with the licence number 222650. Doo Financial is incorporated in Australia and it is a regulated entity under Doo Group.

### 2 Purpose and Content

2.1 This Financial Services Guide (“FSG”) covers basic and essential information about Doo Financial’s products and services, explaining:

- Our authorisation under the Australian Financial Services licence;
- Our acting capacity;
- Our remuneration, commission and other benefits;
- Process and management of your personal information;
- Our professional indemnity insurance; and
- Dispute resolution available to you.

2.2 This information is provided to help you decide whether to use any of the products or services offered by Doo Financial in this FSG. However, the information provided in this FSG shall not constitute as any recommendation, advice or opinion about our products or services.

2.3 All information and advice by Doo Financial were provided without considering the clients’ personal objectives, financial conditions or needs. Doo Financial only provides general market facts and information. You should carefully consider whether our services fulfil your objectives and needs.

2.4 Doo Financial may, from time to time and as often as it deems appropriate, issue and/or distribute material or third-party material (“Material”), which contains information including, but not limited to, the conditions of the financial markets, posted on Doo Financial’s website and other media and/or received by you. It should be noted that the Material is used solely for the purposes of marketing communication and does not contain, and should not be construed as containing, investment advice and/or an investment recommendation. While Doo Financial takes all reasonable efforts to ensure the accuracy and completeness of the information contained in the Material, Doo Financial makes no representations and warranties to the Material and shall not be liable for any direct or indirect loss or damages for any inaccuracies and incompleteness of the information provided. You shall not reproduce, copy, redistribute, license the Material without Doo Financial’s consent.

2.5 You may subscribe or purchase third party market analysis or forecast on Doo Financial’s platform. These should be treated as general advice and you acknowledge that these were not prepared based on any individual or personal investment objectives and financial conditions. Please engage a personal financial adviser if you need any personal investment plan and strategy.

### 3 Our Services

3.1 Doo Financial provides non-advisory execution only trading and brokerage services to retail and institutional clients, primarily on:

- (a) exchange traded products: securities and futures;
- (b) managed investment schemes; and
- (c) custodian services; and
- (d) such other products or services as notified to you from time to time.

3.2 Doo Financial is authorised by ASIC to carry on a financial services business to retail and wholesale clients:

- (a) provide general financial product advice for the following classes of financial products:
  - (i) deposit and payment products limited to basic deposit products;
  - (ii) derivatives;
  - (iii) debentures, stocks or bonds issued or proposed to be issued by a government;
  - (iv) interests in managed investment schemes excluding investor directed portfolio services; and
  - (v) securities;
- (b) deal in a financial product by:
  - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
    - (A) derivatives; and
    - (B) interests in managed investment schemes excluding investor directed portfolio services; and
  - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - (A) deposit and payment products limited to basic deposit products;
    - (B) derivatives;
    - (C) general insurance products;
    - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (E) interests in managed investment schemes excluding investor directed portfolio services; and
    - (F) securities;
- (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) direct real property;
    - (B) financial assets; and
    - (C) mortgages; and
- (d) provide the following custodial or depository services:
  - (i) operate custodial or depository services other than investor directed portfolio services.

## 4 Our Capacity

- 4.1 We act for our own behalf when we are providing the financial services to you. We have entered into agreements with international brokers as a principal and we shall perform transactions and orders directly with the brokers.
- 4.2 We will perform your transaction, execution, clearing and settlement of our products and services as a principal. In relation to the execution of your orders and provision of securities trading services, we will act as your agent, routing your orders to market participants who will enter into trades on the relevant trade exchange.

## 5 Documents

- 5.1 All relevant legal documents for account registration will be made available to you on our trading platform. You must have an account before you can access our products and services which will be subject to your acceptance of the relevant disclosure documents such as a Product Disclosure Statement ("PDS") and Terms and Conditions
- 5.2 The relevant PDS for each trading instrument will be provided to you. The PDS will set forth the risks, benefit and costs associated with each of the trading instrument, and you are advised to assess the risks of each trading instrument and make an informed decision whether to purchase certain trading instruments. The PDS may not be provided if you are trading certain trading instruments. You will be given notice in writing when this occurs.
- 5.3 Please ensure you read and understand the legal documents and the PDS prior performing any trading activity with us. Please engage an external advisor if you do not understand the legal documents and the PDS.
- 5.4 Since we do not provide personal advice to our clients, we will not issue any statement of advice.

## 6 Remuneration, Commission and Other Benefits

We earn varying remuneration, commissions, and benefits from fees and charges incurred from broking, execution and our provision of products and services to you. Fund performance fee and management fee may be applicable to our fund products. All fees are subjective and varies according to volume, duration and type of trading instrument. They may also be based on fees charged by third party product issuers. Please refer to the relevant product disclosure document for details on fees and charges payable.

- 6.1 The remuneration, commission and benefits may be received by a person or service provider who has referred you to Doo Financial's trading platform.
- 6.2 You may request particulars of the remuneration, commission and benefits provided that the request is made within a reasonable time after you have been given this FSG and before any financial service is provided to you.

## 7 Personal Information

- 7.1 Your personal information will be collected, process and managed in accordance with the Privacy Act 1988 (Cth), the Australian Privacy Principles and our Privacy Policy available on [www.doofinancial.com.au](http://www.doofinancial.com.au).

## 8 Professional Indemnity Insurance

- 8.1 Doo Financial has maintained a professional indemnity insurance policy in accordance with the requirements of section 912B of the Corporations Act 2001 (Cth). This insurance policy covers claims made against Doo Financial for loss and damages suffered by clients as a result of breach of regulations and obligations by Doo Financial and its representative.

## 9 Dispute Resolution

- 9.1 We have established appropriate complaints procedure and dispute resolution process to resolve your complaints. If you have any complaint in relation to our products and services, please do contact us at the following:

Online: <https://www.doofinancial.com.au/contactus/>

Email: [compliance@doofinancial.com.au](mailto:compliance@doofinancial.com.au)

Phone: +612 9145 9521

Mail: 'Tower 1' Suite 1302 Level 13, 475 Victoria Avenue, Chatswood NSW 2067, Australia.

- 9.2 We will provide acknowledgement of receipt of complaints within one (1) business day. We will try our best endeavours to resolve your complaint within 30 days. Your complaint will be investigated, and a decision will be provided along with the reasons on which the decision is based.

- 9.3 In the event you are not satisfied with our decision, you may lodge a complaint in writing to the Australian Financial Complaints Authority ("AFCA") via any of the following:

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

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

Telephone: 1800 931 678 (free call)

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

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