

**Titan Securities Pty Ltd**

ACN 120 951 608

AFSL 307040



# **Financial Services Guide**

A guide to our relationship  
with you and others

**Issue No. 3**

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**The financial services referred to in this guide are offered by Titan Securities Pty Ltd, ACN 120 951 608 an Australian Financial Services Licensee which holds Licence Number 307040**

**The contact details of Titan Securities Pty Ltd are as follows:**

20 Wells Street,

Bellevue WA 6056

Tel: (08) 9274 0667

Fax: (08) 9274 6851

Email: mcorica@titansecurities.com.au

**This guide contains important information about:**

- the services we offer you
- the name and contact details of the licensee
- how we and our associates are paid
- any potential conflict of interest we may have
- our internal and external dispute resolution procedures and how you can access them

We are authorised to provide either personal financial product advice and to deal in financial products as detailed.

We will give you a Statement of Advice at the time initial advice is provided for a particular type of product and Further Market Related Advice for similar transactions. We require you to keep us up to date with your financial position and if your personal financial circumstances change.

Your information will be kept confidential at all times and will not be divulged to other parties without your express authorisation.

## A guide to our relationship with you and others

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*What financial services is Titan Securities Pty Ltd and Matthew Corica authorised to provide?*

Titan Securities Pty Ltd and Matthew Corica are authorised to provide the following financial services:

Provide financial product advice for the following classes of financial products:

- 1 deposit and payment products limited to basic deposit products;
- 2 derivatives;
- 3 debentures, stocks or bonds issued or proposed to be issued by a government;
- 4 interests in managed investment schemes excluding investor directed portfolio services;
- 5 securities.

Applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:

- 1 deposit and payment products limited to basic deposit products;
- 2 derivatives;
- 3 debentures, stocks or bonds issued or proposed to be issued by a government;
- 4 interests in managed investment schemes excluding investor directed portfolio services;
- 5 securities.

To retail and wholesale clients.

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*Who is my representative?*

Your Representative will be Matthew Corica. Matthew is authorised by Titan Securities Pty Ltd to provide financial services and is the principal of Titan Securities Pty Ltd. Matthew is authorised to provide all of the financial services outlined in this Financial Services Guide (FSG) on your behalf by carrying out your instructions.

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*Who is responsible for the financial services provided?*

Titan Securities Pty Ltd is responsible for the financial services provided including the distribution of this FSG.

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*Do you have any relationships or associations with a Financial Product issuer?*

Titan Securities Pty Ltd is independently owned and does not have any association with other product issuers.

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<i>Who does Titan Securities Pty Ltd act for when providing a financial service?</i>	Titan Securities Pty Ltd is independently owned and holds its own Australian Financial Services Licence and is not authorised by any other Licensee.
<i>What information should I provide to receive personalised advice?</i>	<p>Titan Securities Pty Ltd is authorised to provide financial product advice. If you require financial product we will ask you to complete a detailed client data form from which we will be able to assess your financial position, financial goals and risk tolerance.</p> <p>You have the right to not seek financial product advice or to provide your personal information, if you do not wish to. However, if you do not, the advice you receive may not be appropriate to your needs, objectives and financial situation.</p> <p>You should read the warnings contained in any <i>Statement of Advice</i> carefully before making any decision relating to a Financial product/s.</p>
<i>What information do you maintain in my file and can I examine my file?</i>	<p>We maintain a record of your client data form, all financial investments you have made and trading activity.</p> <p>We are committed to implementing and promoting a privacy policy, which will ensure the privacy and security of your personal information. A copy of our privacy policy is enclosed for your information.</p> <p>If you wish to examine your file please ask us. We will make arrangements for you to do so.</p>
<i>How can I give you instructions about my Financial Product/s?</i>	You may provide instructions by telephone, fax or via the internet.
<i>How will I pay for the services provided?</i>	You will not be charged a fee for our services as we will receive commission from broking houses with whom we have a contractual relationship and the product issuer.
<i>How are any commissions, fees or other benefits calculated for providing the financial services?</i>	<p>Generally the commission we receive will be based on the value of the transaction.</p> <p>We will tell you about any commissions, fees and any other benefits, in actual dollar amounts, whenever you undertake a transaction. You will also receive a contract note for each transaction which will show the amount of brokerage charged by the broker. We will receive a percentage of that brokerage (refer schedule below).</p> <p>We may be paid by the Financial Product issuer at the time you invest. Details will be disclosed in the Prospectus or Product Disclosure Statement and in any recommendation made in respect of the Financial Product.</p>

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*Will anyone be paid for referring me to you?*

Where you have been referred to us by someone else, if we may pay them a fee or commission in relation to that referral, we will tell you who will receive that fee or commission and the amount they will receive.

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*What should I do if I have a complaint?*

1. Contact us and tell us about your complaint. Titan Securities Pty Ltd is a member of the FOS Dispute Resolution Scheme.
2. If your complaint is not satisfactorily resolved within 20 days, please contact Matthew Corica of Titan Securities Pty Ltd or put your complaint in writing and send it to him at Titan Securities Pty Ltd at the address, noted at the beginning of this FSG. We will try and resolve your complaint quickly and fairly.
3. If the complaint can't be resolved to your satisfaction you have the right to refer the matter to FOS.

They can be contacted on 1300 780 808.

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*Do you have Compensation Arrangements in place?*

Titan Securities Pty Ltd has compensation arrangements (PI Insurance) that complies with s912B. The compensation arrangements cover claims in relation to conduct of representatives/employees who no longer work for the licence holder (but who did at the time of the relevant conduct). The insurance is not intended to cover product failure or general investment losses, claims for loss solely as a result of the failure of a product issuer or where a return on a financial product that has not met expectation. Nor is the insurance intended to underwrite the products of a product issuer. PI Insurance is a regulatory requirement designed to indirectly protect customers against fraud and other misconduct.

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If you have any further questions about the financial services Titan Securities Pty Ltd provides, please contact Matthew Corica on (08) 9274 0667.

Retain this document for your reference and any future dealings with Titan Securities Pty Ltd.

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## SCHEDULE OF COMMISSION ALLOCATION – EQUITIES DIVISION

The commission charged on per side trading is \$RETAIL + 10% GST (refer Schedule of Fees). The retail commission is allocated as such: Clearing Agent (listed below), Authorised Representative 40% of NET (NET = RETAIL – CLEARING RATE), and the remainder to Titan Securities Pty Ltd.

<b>ASX Transactions</b>	<b>Wholesale Clearing Rates (GST Inclusive)</b>	<b>Currency</b>
Broker Sponsored Shares and Warrants	\$33.00 or 0.15%	AUD
Issuer Sponsored Shares and Warrants	\$35.00 or 0.15%	AUD
Exchange Traded Options	\$44.00 or 0.55% (Plus ACH fees of \$1.12 per contract)	AUD