



## Financial Services Guide

23 March 2016

### BNP Paribas Securities Services

ARBN 149 440 291

AFSL 402467

#### 1. ISSUER OF THIS FSG

This Financial Services Guide ("**FSG**") is issued to retail investors by BNP Paribas Securities Services ("**BNP Paribas Securities Services**", "**we**", "**us**", or "**our**").

#### 2. THE PURPOSE AND CONTENT OF THIS FSG

You've received this FSG because your securities broker, Interactive Brokers Australia Pty Ltd ("**Broker**") has arranged for BNP Paribas Securities Services to provide you with certain financial services. This FSG is provided to give you key information about the types of financial services we will or are likely to provide to you. It also provides you with information on:

- remuneration that may be paid to us and other relevant persons in relation to the services offered;
- details of how you can give us instructions;
- details on how we protect your personal information; and
- how you can make a complaint about us.

The FSG is intended to assist you in deciding whether to use any of the financial services offered.

#### 3. WHO WE ARE

BNP Paribas Securities Services is licensed under the *Corporations Act 2001* (Cth) ("**Corporations Act**") to provide certain financial services which it is authorised to provide under its Australian financial services licence ("**AFSL**"). We are a provider of asset custodian, third party cash equities clearing and fund administration services in Australia.

We are a General Participant of ASX Clear Pty Ltd ABN 48 001 314 503 ("**ASX Clear**"), and a Settlement Participant of ASX Settlement Pty Ltd ABN 49 008 504 532 ("**ASX Settlement**").

#### 4. FINANCIAL SERVICES RELATED TO THIS FSG

Your Broker has arranged for us to provide clearing and settlement services in respect of transactions in cash market products which it executes on your behalf on or through the ASX and/or Chi-X markets. BNP Paribas Securities Services is authorised under its AFSL to provide these services. In particular, its AFSL authorises BNP Paribas Securities Services to (among other things) deal in:



- (a) stocks issued or proposed to be issued by a government;
- (b) interest in managed investment schemes excluding investor directed portfolio services; and
- (c) securities,

on behalf of wholesale and retail clients.

You are our client for these purposes. However, we will owe our clearing and settlement obligations in respect of transactions executed by the Broker for you to ASX Clear as principal.

BNP Paribas Securities Services does not provide financial product advice, and it is not authorised to do so under its AFSL.

**5. OTHER DOCUMENTS YOU MAY RECEIVE FROM US**

In addition to this FSG, you will receive a disclosure statement in respect of our clearing services provided to you ("**Disclosure Statement**"). The Disclosure Statement forms the terms and conditions between us and takes effect when you place an order with your Broker to buy or sell financial products.

We are not required to provide you with a Product Disclosure Statement ("**PDS**") about a particular financial product, and you will not receive a Statement of Advice from us as we will not provide you with financial product advice.

**6. GIVING US INSTRUCTIONS**

You must direct your instructions to your Broker in accordance with your agreed arrangements with the Broker.

**7. REMUNERATION**

We will charge your Broker fees for clearing transactions and providing settlement services to you in accordance with an agreement between us and the Broker. The fees that we may charge may be a fixed monthly fee, a fee per trade, and/or other ancillary fees.

There are also certain fees that may be payable by your Broker or you in accordance with the Disclosure Statement, such as fees for any failure by you to meet your settlement obligations to us. This includes administration fee or a default charge that may be levied on you. Where a fee is payable to us by you, you must direct your payment of any such payments to your Broker or in accordance with your Brokers' instructions, who will then pay us.

We will not pay, and will not receive, any referral fee.

Our fees and charges are separate to the brokerage or commissions the Broker may charge you in respect of the services that it provides to you in accordance with your arrangements with the Broker.

Our representatives are remunerated by way of salary and they do not directly receive any remuneration calculated by reference to the amount of fees received by us from the Broker. They may also be entitled to a bonus or other employment benefits based upon



performance and achievement of various objectives by both the representative and BNP Paribas Securities Services.

**8. DISPUTE RESOLUTION**

If you have complaints about any of our services, you should send your complaints to:

Client Development Team  
BNP Paribas Securities Services  
PO Box R209  
Royal Exchange NSW 1225

You should describe the circumstances that gave rise to your complaint. We will try to resolve your complaint and will notify you of the outcome of our review. If the outcome is unsatisfactory to you, you may also contact the Financial Ombudsman Service, at:

Financial Ombudsman Service  
GPO Box 3  
Melbourne, Vic 3001  
Telephone: 1300 78 08 08  
Fax: (03)9613 6399  
Web: [www.fos.org.au](http://www.fos.org.au)

You can also make a complaint to the Australian Securities and Investments Commission ("**ASIC**") at any time by contacting their information line on 1300 300 630.

**9. COMPENSATION ARRANGEMENTS**

We have in place a compensation arrangement in respect of any loss or damage suffered by you due to a breach by us of our regulatory obligations. We may meet your claim from our own available resources, but we also maintain professional indemnity insurance in accordance with the law.

**10. PRIVACY**

We handle your personal information in accordance with our Privacy Policy, which is accessible at <http://cdn-pays.bnpparibas.com/wp-content/blogs.dir/71/files/2014/06/BNP-Paribas-Securities-Services-Privacy-Policy.pdf>. We may collect, use, hold or disclose your personal information in order to provide you with financial services, to monitor the quality of the service that we provide to you, and to comply with our legal and regulatory obligation.

**11. CONTACT DETAILS**

You should contact your Broker in the first instance with any questions and requests for further information.

Our contact details are as follows:

Client Development Team  
BNP Paribas Securities Services  
PO Box R209  
Royal Exchange NSW 1225