

**Titan Securities Pty Ltd**

ACN 120 951 608

AFSL 307040



# **Financial Services Guide**

A guide to our relationship  
with you and others

**Issue No. 6**

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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: 1800 228 600

Email: [mcorica@titansecurities.com.au](mailto: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 general, 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.

(this includes other Authorised Representatives / Investment Advisors of Titan Securities Pty Ltd managed by Matthew Corica)

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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>	Fixed monthly fee, fixed one time only fee, hourly rate or if allowed by the Corporations Act (Corps Act) a commission.
<i>How are any commissions, fees or other benefits calculated for providing the financial services?</i>	<p>Generally the commission (if allowed under the Corps Act) we receive will be based on the value of the transaction, or we charge a flat fixed fee.</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 / platform provider. We will receive a percentage of that brokerage (refer below).</p> <p>We may be paid a commission, stamping fee or other fee, if allowed under the Corps Act, 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 1800 228 600.

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

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## SCHEDULE OF FEES – EQUITIES DIVISION

Commec Adviser Services is our preferred platform provider.

ASX Transactions	Commsec's Brokerage Rates (GST Inclusive)	Currency
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

Titan Securities Pty Ltd charges a fixed flat rate per Statement of Advice, an hourly rate, a round-turn rate, or a commission.

Titan's fixed monthly rates for newsletters to trading strategies range from \$80 + GST per month to \$1000 + GST per month, our single SOA rates range from \$250 + GST to \$500 + GST, and our hourly rates range from \$200 + GST to \$400 + GST depending on the service that you request.

Titan's round-turn rate for futures market advisory ranges from \$40 + GST to \$150 + GST. The average commission charged for advisory share trades is 1% or a minimum of \$100 + GST.

All clients will receive an annual fee disclosure statement documenting fees paid and the services received. Clients will be required to sign an OPT-IN agreement every two years as required under the new FOFA regulations if receiving on-going advisory services.

Our representatives are remunerated by an annual salary, or if they are self employed Authorised Representatives then the Rep pays Titan Securities Pty Ltd a monthly compliance fee and receives a fixed percentage of their fees generated. Titan Securities Pty Ltd has no discretion over the portion of the benefits that are passed on to the Authorised Representative.

## SCHEDULE OF FEES – EQUITIES DIVISION (General Advice)

Our General Advisory Rates: Australian & US Markets \$12 or 0.16%

Example: \$20,000 trade = \$32 + GST (USD or AUD).

Plus additional research report subscription fees.

Wholesale Rates (cost of execution):

- Australian Markets = \$6 or 0.08% (AUD)
- US Markets = \$1 or 0.005% (USD)

## SCHEDULE OF COMMISSIONS – FUTURES DIVISION

Bell Potter is our preferred platform provider.

Exchange	Contracts	Currency	Bell Potter's Brokerage Rates (GST Exclusive)
Chicago Mercantile Exchange	S&P 500, S&P 400 (Mid Cap), Nasdaq 100, Russell 2000	USD	10.00
Chicago Mercantile Exchange	E-Mini Products	USD	10.00
Chicago Mercantile Exchange	90 Day Eurodollar	USD	10.00
Chicago Mercantile Exchange	Currencies	USD	10.00
Chicago Board of Trade	US Treasury Futures (T-Bond and T-Notes)	USD	10.00
Chicago Board of Trade	US Treasury Options (T-Bond and T-Notes)	USD	10.00
Chicago Board of Trade	Agriculture Contracts	USD	10.00
NYBOT	Coffee, Sugar	USD	10.00
NYMEX	All contracts	USD	10.00
OTHER USD MKTS	All contracts	USD	10.00
LIFFE	Short Sterling, Long Gilt	GBP	8.00
LIFFE	FT-SE 100 Stock Index - Futures & Options	GBP	8.00
LIFFE	Coffee & Sugar	GBP	8.00
EUREX	EUREX Bund, Bobl, Shatz	EUR	8.00
EUREX	DOW JONES EURO STOXX 50	EUR	8.00
EUREX	German Stock Index - Futures	EUR	8.00
EUREX	German Stock Index - Options	EUR	8.00
EUREX	Swiss Market Index Futures	CHF	N/A
Euronext - Amsterdam	EOE Stock Index - EURO	EUR	8.00
Euronext - Amsterdam	EOE 25 STOCK IND CASH OPTION	EUR	8.00
Euronext - Brussels	BEL 20	EUR	8.00
Euronext Paris	CAC40 10 EURO FUTURES	EUR	8.00
HKFE	Hang Seng	HKD	80.00
HKFE	Hang Seng China Enterprises Index (H-Shares)	HKD	80.00
SIMEX	MSCI Singapore	SGD	N/A
SIMEX	MSCI Taiwan (USD)	USD	10.00
SIMEX	10 Years Japanese Govt T-Bond	JPY	N/A
SIMEX	Nikkei 225 Stock Futures	JPY	N/A
Sydney Futures Exchange	All Contracts	AUD	8.00

Titan Securities Pty Ltd charges a fixed flat on-going rate per Statement of Advice for our futures trading strategies (refer above range of fees).