



Ocean Global Markets Ltd  
ACN 133 085 908  
AFSL 332 890

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## **Financial Services Guide (FSG)**

**Date Prepared: 11th Sept. 2017**

### **OCEAN GLOBAL MARKETS LTD**

**AFSL: 332 890**

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This Financial Services Guide (FSG) should be read in conjunction with the CMC Markets Asia Pacific Pty Ltd Financial Services Guide (Australian Financial Services Licence No. 238054) which can be downloaded from the Legal Documents page of CMC website – <https://www.cmcmarkets.com/en-au/legal-documents>

The purpose of this FSG is to provide you with additional information about the type of financial services you may be provided by Ocean Global Markets Ltd (OGFX), ACN 133 085 908. Ocean Global Markets Ltd has been appointed as an introducing advisor of CMC Markets Asia Pacific Pty Ltd which holds Australian Financial Services Licence No. 238054. Employees and representatives of Ocean Global Markets Ltd who provide general advice on their behalf have also been appointed as introducing advisors of CMC Markets Asia Pacific Pty Ltd. The distribution of this FSG by Ocean Global Markets Ltd and its representatives has been approved by CMC Markets Asia Pacific Pty Ltd.



## **Financial Services Guide (FSG) for Spot Forex & CFDs**

### **Purpose and content of this FSG:**

This FSG is designed to tell you about the financial products and services offered by Ocean Global Markets Ltd, (“OG”, “we”, “us”, “our”) that we are authorised to offer under our Australian Financial Services Licence (AFSL).

This FSG contains important information about:

- Who we are and how you can contact us
- The financial products and/or services we offer
- How we and our associates are remunerated
- The capacity in which we act when we provide financial services
- Our internal and external dispute resolution procedures
- The privacy of your personal information

This FSG should assist you in deciding whether to use any of the products or services we offer.

### **Who is OG?**

Ocean Global Markets Ltd (“OG”) is an incorporated Australian entity. OG offers Spot Forex and CFD products and services to clients. OG holds an Australian Financial Services licence (number 332890) and is regulated by the Australian Securities and Investment Commission.

### **Product Disclosure Statements (PDS) and other documents:**

When you are looking to open a Spot Forex and/or contract for difference (CFDs) trading account with OG, we will also provide you with a PDS, which contains important information about the financial products we offer, including the trading risks and costs associated with the financial product.

The kinds of financial products to which our services relate are foreign exchange contracts and derivatives. The derivatives we offer are Contracts For Difference (CFDs) over a wide range of financial instruments including stock indices, commodities, equities and foreign exchange contracts. A CFD is an agreement between two parties to exchange the difference, in cash, between the opening value and the closing value of the contract.



Trading in foreign exchange and derivative products carries substantial risks and you may incur substantial loss. Before making any decision to acquire any of our financial products, you should carefully review the PDS and consult your professional advisers to determine whether investing in these products is suitable for you.

You should also read our Terms & Conditions before trading with us. Terms and Conditions, along with this FSG and PDS, govern the terms of our relationship with you.

**The financial products and services we are authorised to provide to you:**

OG holds an AFSL which authorises us to provide the following services to both wholesale and retail investors:

- Provide general financial product advice in interests in managed investment schemes excluding investor directed portfolio services; and securities
- Deal in derivatives and foreign exchange by issuing, applying for, acquiring, varying or disposing of a financial product in these classes; derivatives, foreign exchange contracts
- Deal in deposit and payment products, derivatives, foreign exchange contracts, interest in managed investment schemes excluding investor directed portfolio services; and securities by applying for, acquiring, varying or disposing on behalf of another person.

OG will only provide general advice. OG does not provide any personal advice which takes into account your personal objectives, financial situation or needs. If you require personal advice, please contact your financial adviser, who will provide you with a statement of advice in respect of any personal financial product advice given to you.

OG does not provide market making services through its online trading platforms.

Before acting on any advice asked of or given by an employee of OG, you should carefully consider the appropriateness of the advice with regards to your personal objectives, financial situation and needs.

**Who we act for:**

When you trade in OG's derivative and foreign exchange products, we act as your agent, and will instruct CMC Markets Asia Pacific Pty Ltd who will enter into trades in accordance with your orders. Trades will be executed by CMC Markets Asia Pacific Pty Ltd who is the holder of an AFS licence 238054



### **Cost, fees and charges:**

General information about remuneration and charges can be found in the CMC Markets Asia Pacific Pty Ltd FSG. A full description on the amounts we charge and when they will be charged is included in relevant CMC Markets Asia Pacific Pty Ltd Product Disclosure Statements. As an introducing advisor of CMC Markets Asia Pacific Pty Ltd we may receive up to 90% of the gross income including brokerage generated from clients. Our employees and directors are remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus which is based on achievement of pre-determined business objectives such as a contribution to profit, client service, risk management and leadership/team contribution. You have a right to request for further information in relation to the remuneration, the range of amounts or rates of remuneration, and soft dollar benefits received by Ocean Global Markets Ltd.

### **Introducing brokers:**

The fees and charges described in our PDS and supplementary PDS, and in this FSG apply where you trade directly with OG. If you trade with OG through an Introducing Broker, that Introducing Broker may have its own fees and charges.

Our Introducing Broker service allows Introducing Brokers to be remunerated for introducing new Clients to OG. As an Introducing Broker, they can introduce Clients to OG and in turn receive remuneration and other benefits in accordance with the Corporations Act and ASIC requirements. You should refer to your Introducing Broker's financial services guide, website or contact your Introducing Broker for further information. In those circumstances, if there are differences in the Introducing Broker's fees and charges for a particular service, the Introducing Broker's fees and charges will apply.

Ocean Global Markets Ltd may pay commission or provide other benefits to introducing brokers and referrers for the introduction or referral of clients to us. The commission paid by us to introducing brokers and referrers may include: " a share of Ocean Global Markets Ltd spread income generated from your trading in Forex, Indices or CFD Futures Contracts. For example if you opened and closed a trade of 1 lot AUD/ USD (\$100,000 AUD/ lot with 100:1 leverage) this would equate to a commission of up to a maximum of approx AUD \$10. We may also provide non-cash benefits to referrers and introducing advisers, including data feeds of our prices.

### **Remuneration and benefits for employees and directors:**

Our employees and directors are remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus which is based on



achievement of predetermined business objectives such as contribution to profit, client service, client satisfaction, risk management and leadership/team contribution.

**Our associations or relationships:**

We have a commercial business arrangement with various Hedge counterparties and liquidity providers and CMC Markets Asia Pacific Pty Ltd.

**Complaints handling:**

We have clear internal and external complaint resolution procedures, and we are a member of an independent dispute resolution scheme, the Financial Ombudsman Service (FOS). If you wish to make a complaint or a query, you should contact one of our employees. If the complaint cannot be resolved at this first point of contact, you should put your complaint in writing and send it to:

The Complaints Officer  
Ocean Global Markets Ltd  
Level 5, 9 Castlereagh Street, Sydney, NSW 2000

The Complaints acknowledge the complaint as soon as practicable and to inform you who will be responsible for resolving the complaint. The Complaints Officer has 45 days from the date of the original complaint to resolve the issue. The Complaints Officer will report the findings to you either by phone or in writing. If you are still dissatisfied and wish to pursue your complaint you can direct the complaint to the FOS:

Financial Ombudsman Service  
GPO Box 3  
Melbourne Victoria 3001  
Phone: 1300780808 or +61 (03) 9613 7366  
Fax: +61 (03) 96136399  
Website: [www.fos.org.au](http://www.fos.org.au)

We will provide you with a guide to the External Dispute Resolution Scheme once notified of any complaint to FOS. We will assist FOS in its investigation and we are bound by any decision that it makes in regard to the dispute.

**Recording of phone conversations with OG employees:**

OG may record phone conversations between you and our employees. Such recordings, or transcripts from such recordings, may be used as evidence in any dispute or anticipated dispute between OG and you.

**Professional Indemnity insurance:**



OG has a professional indemnity insurance in place which satisfies the requirements for compensation arrangements pursuant to section 912B of the Corporations Act 2001. This policy covers claims made against OG in relation to professional services provided by our current and former employees.

### **OG's Privacy Policy:**

We value the privacy of your personal information. When we collect, use, disclose or handle personal information, we are bound by the Privacy Act 1988 Cth and the Australian Privacy Principles.

Our full privacy policy is available from our website

If you would like a copy of our privacy policy, or wish to seek access to, or correct the personal information we collect or disclose about you, please contact us.

### **Anti-Money Laundering Obligations**

As a financial service provider, we have an obligation under the Anti Money Laundering and Counter Terrorism Financing Act 2006 to verify your identity and the source of any funds. This means that we will ask you to present identification documents such as passports and driver's licence. We will also retain copies of this information. We assure you that this information will be held securely. We cannot provide you with services if you are unwilling to provide this information. If you decide to establish and fund an account with us you will be required to deposit funds into a client trust account held by the licensee CMC Markets Asia Pacific Pty Ltd.

### **Contacting OG:**

You may communicate with us in writing (by email, fax or post), or orally (by telephone or in person) by using the contact details appearing below.

To give us dealing instructions, you may do so via our web-based trading platforms or by telephone.

For non-dealing related instructions, you may contact us by telephone, by e-mail, by fax, by post or in person.

## **Contact**

### **Ocean Global Markets Ltd**

Level 5, 9-13 Castlereagh Street, Sydney NSW 2000

Telephone: +61 1300 459 688

Email: [service@ogforex.com.au](mailto:service@ogforex.com.au)