



FINANCIAL SERVICES GUIDE

Forexboat Pty Ltd

Corporate Authorised Representative of HLK Group Pty Ltd

AFSR - 1238951

AFSL – 435746

VERSION 4.3

28th of September 2017

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1. Issue Date

This Financial Services Guide (“FSG”) is dated 28th of September 2017 and replaces all previous versions.

2. Purpose and Contents of this FSG

This FSG is an important document and is designed to provide you with important information regarding our services to consider before deciding whether to use our financial services or products. The FSG is designed to provide you with an understanding of what to expect from our relationship and includes the following:

- who we are and how you can contact us
- who is my adviser
- the financial services we are authorised to provide
- the costs of our services, how we are remunerated for these services and how we pay our representatives
- any (potential) conflicts of interest we may have and
- our internal and external dispute resolution process

If you choose to use any of our financial services and products, you may also receive other important documents. These documents may include a statement of advice and product disclosure statements.

If you would like further information on any of these matters, please ask us.

3. Name of Service Provider and Contact Details

The authorising licensee is HLK Group Pty Ltd ABN 93 161 284 500 (“HLK”), and the Principal Contact there is Jason Holdsworth, Director/Responsible Manager.

HLK Group Pty Ltd
Suite 804, 3 Spring Street
Sydney NSW 2000
Tel: 1300 669 605
Email: info@hlkgroup.com.au
Web: www.hlkgroup.com.au

4. Australian Financial Services License (“AFSL”) details & Financial Services provided

HLK holds an AFSL [Number 435746] and is authorised to deal in and provide general and/or personal financial product advice in relation to the following:

- deposit and payment products
- derivatives
- foreign exchange contracts
- debentures, stocks or bonds issued or proposed to be issued by a government
- interests in managed investment schemes limited to Managed Discretionary Account service
- securities

to retail and wholesale clients.

HLK can undertake trades pursuant to client instructions (non-discretionary) or manage such investments on their behalf (discretionary) utilising a comprehensive range of financial products and services.

5. Method of providing financial services

If you wish to utilise our services you may issue us with instructions in any of the following ways:

- in person
- via the telephone (please note that telephone calls may be tape recorded)
- in writing (including email or facsimile, where authorised by HLK). You must check and confirm with us that instructions sent via email or facsimile have in fact been received by us.

Depending on whether the MDA Contract either states that we are to exercise any rights in relation to financial products and securities that you hold through our MDA service or merely communicate to you your ability to exercise such rights, we will communicate with you in this regard using either or a combination of the methods listed above. Please see page 6 of the Investment Program for information on our policy for communicating margin calls and closing out loss positions.

6. Who is My Advisor

HLK has authorised Corporate Authorised Representatives (Companies) and Authorised Representatives (Individuals) to provide financial services. As the licensee, HLK is responsible for the advice you receive from our advisers and us.

The details of your Corporate Authorised Representative are:

Name: Forexboat Pty Ltd
ABN: 29 609 855 414
CAR no: 001238951
Address: 15 Macleay Crescent, Pacific Paradise QLD 4564
Tel: 0450 262 802
Email: support@forexboat.com

Forexboat Pty Ltd is authorised, as well as its nominated representatives by HLK to provide general financial product advice in relation to the following:

- derivatives
- foreign exchange contracts

to retail and wholesale clients.

To the extent that we authorise our representative to do so, your adviser can help you to apply for the financial products referred to above and can also give you financial product advice in relation to them. If your adviser is unable or unwilling to provide you with advice or services in respect of certain products, the adviser will refer you to another representative of HLK, who should be able to assist you.

7. Nature of Advice

General financial advice

There may be times we offer you general financial advice. You should note that general financial advice does not relate specifically to you and therefore may not be appropriate to your particular financial needs, objectives and financial circumstances. You need to take this into account before deciding whether or not to act on it. This FSG contains general information. If you have further questions after reading it please contact us.

Personal financial advice

If we provide you with personal financial advice, then you will initially receive a Statement of Advice (SOA) when, or as soon as practical after the advice is given. This statement will set out the advice, the basis on which the advice was given and any remuneration or other benefit that we, including our representatives

and associates, may receive. We will also include details of any matter that might reasonably be expected to be capable of influencing us in providing this advice.

If you maintain an advice relationship with us, then generally we will not provide an SOA for further advice situations unless there have been significant changes to either your personal circumstances or the basis of the advice since your last SOA was provided. In these circumstances however, we are still required to keep a Record of Advice (ROA). You have the right to request a copy of your SOA or ROA at any time.

We will maintain a record of your personal profile including details of your objectives, financial situation and needs. We also maintain records of any recommendations made to you. For information on how to access these records, please refer to the section 'Privacy'.

We will not give you personal advice in our regular updates, research reports or marketing material, when you visit our website, or contact our Client Services team.

8. Documentation

HLK will provide clients with the following documentation where applicable:

Transaction Documentation:

HLK will provide clients with the relevant documentation to facilitate requested transactions (i.e. client agreement, terms & conditions and confirmation).

Factual information/Deal execution only:

HLK can provide you with factual information and research, and facilitate execution only requests.

Product Disclosure Statements:

If we make a recommendation for you to acquire a particular financial product or offer to provide or arrange for the provision of a particular financial product, you should also receive a **Product Disclosure Statement** which contains important information regarding the features, benefits, risks and fees applicable to investment in such product, and should be read carefully to enable you to make an informed decision about whether to acquire or utilise such products.

9. Professional Indemnity Insurance

In compliance with s912B of the Corporations Act 2001 (Cth), ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968 and ASIC RG 126, and subject to the terms and conditions we maintain Professional Indemnity Insurance to cover the financial products and services we and our Corporate Authorised Representatives / Individual Representatives / Employees provide, including any claims in relation to the conduct of our former representatives/employees.

10. Our record-keeping obligations

HLK will seek to ensure that comprehensive and accurate records of client profiles, together with all advice/recommendations provided, are properly maintained.

11. Who do we act for?

HLK is responsible for the financial services we provide to you under our Australian Financial Services License.

HLK is an agent when dealing in Contracts For Difference and margin foreign exchange contracts, i.e. off-market Over-The-Counter (OTC) derivatives. HLK will arrange for another counter-party to issue (in conjunction with HLK) these specific financial products.

HLK may also arrange for you to be supplied with financial services and products issued by non-related product providers. HLK may receive a fee or commission payment from these non-related issuers as a result of you investing in one of their products or services. Any remuneration that HLK may derive is included in the fees and commissions you pay as outlined under the heading “Information about remuneration” – you do not pay extra.

HLK does not act as a representative of any other licensee in relation to the services or products we provide.

12. Remuneration/commission/benefits

Forexboat Pty Ltd is remunerated through the membership fee that we charge for the courses we provide.

Forexboat Pty Ltd offers different pricing structure, all prices are expressed in US dollars:

1. Beginner \$0 per month having access to Introductory Video Series
2. Student \$19.7 per month having access to
 - a. Introductory video series
 - b. 7 Forex Trading Courses
 - c. Private Trading Community
 - d. Exclusive Trading Offers
 - e. 2 Live Monthly Webinars
 - f. Live Analysis Sessions
3. Trader \$197 paid annually having access to
 - a. Introductory video series
 - b. 7 Forex Trading Courses
 - c. Private Trading Community
 - d. Exclusive Trading Offers
 - e. 2 Live Monthly Webinars
 - f. Live Analysis Sessions
 - g. Library of Webinar Recordings
4. Strategy Building Course \$9 one off. The course provides general information about how to approach Strategy Building in Forex trading. It consists of an introduction and three parts (in video)
 - a. Introduction: Overview (2:17)
 - b. Part One: Where to start when building your strategy (41:12)
 - c. Part Two: Improving and iterating your strategy (61:40)
 - d. Part Three: Assessing results (53:11)

There are terms and conditions of the service and you may refer to <https://www.forexboat.com/terms-and-conditions/> for full details. Membership fee may change from time to time according to marketing campaigns.

13. Disclosure of any relevant conflicts of interest

HLK will advise you of any material interest that could reasonably be expected to influence our recommendation of a financial product to you either, verbally or within an SOA or ROA. We manage, and will clearly disclose any conflicts that we believe may influence our advice.

14. Dispute Resolution

HLK has an internal dispute resolution process in place to resolve any complaints or concerns you may have, quickly and fairly. Any complaints or concerns should be directed to the Complaints Officer (by telephone, facsimile, or letter) at the address and telephone numbers provided in Section 3 of this FSG, or by email to compliance@hlkgroup.com.au.

We will provide acknowledgement of receipt of written complaints within 5 business days, and seek to resolve and respond to complaints within 30 business days of receipt. We will investigate your complaint, and provide you with our decision, and the reasons on which it is based, in writing.

If you are dissatisfied with the outcome, you have the right to lodge a complaint with the Financial Ombudsman Service (“FOS”) [contact details below], an approved external dispute resolution scheme, of which HLK is a member. You may also make a complaint via the ASIC free call Info line on 1300 300 630.

FOS

GPO Box 3, Melbourne, VIC, 3001

Telephone: 1300 780 808

Facsimile: +613 9613 6399

Website: www.fos.org.au

Email: info@fos.org.au

15. Privacy

HLK Group Pty Ltd respects your right to the privacy of your personal information. Any personal information provided by you to HLK Group will be handled in accordance with our privacy policy. Our privacy policy details how we comply with the requirements of the Privacy Act 1988 (Cth) in the handling of your personal information.

A copy of that policy can be obtained by visiting the HLK Group website at www.hlkgroup.com.au or asking your adviser.

16. Anti-Money Laundering and Counter Terrorism Finance Act

As a financial service provider, we have an obligation under the Anti-Money Laundering and Counter Terrorism Finance Act 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 license. 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.