



FINANCIAL SERVICE GUIDE

www.tradehall.co

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1. ABOUT

- 1.1 This Financial Service Guide ('FSG') is designed to help you decide whether to use any financial services or products provided by TradeHall Pty Ltd ('TradeHall'). It allows you to understand what to expect when dealing with TradeHall.
- 1.2 The information contains in this Financial Service Guide: other documents may give to you by TradeHall; who TradeHall is and how you can contact TradeHall; the kinds of products and services TradeHall is authorised to provide; any associations or relationships TradeHall may have; how TradeHall, its employees and other related persons are remunerated in connection with the financial products and services TradeHall provides; how you can instruct TradeHall; how TradeHall will deal with customer complaints and where clients can go for further help; records TradeHall keeps and your privacy with TradeHall.
- 1.3 You will receive this FSG typically, when TradeHall provides you with the financial products and services. This FSG only contains general information. For further enquiry, kindly contact TradeHall directly.



2. OTHER DOCUMENTS YOU MAY RECEIVE

- 2.1 In some circumstances, TradeHall needs to issue you with other documents when TradeHall provides its services or products to you.
- 2.2 Product Disclosure Statement ('PDS')
The purpose of PDS is to enable clients to make informed decisions about whether to buy or sell financial products and services provided by Tradehall. This document contains important information, including:
 - the Terms and Conditions of the products and services provided;
 - any significant risks associated with holding the products;
 - information about the cost of the services and products; and
 - detailed information about the fees and charges charged by the product or service provider for issuing products or providing services.

Generally, PDS will be given to you before TradeHall provides a service or issues you with a product or service or offers to provide a service or issue a product to you.

2.3 Client Agreement

The Client Agreement is an agreement between you and TradeHall. The information contained in the document governs your relationship with TradeHall.

You will typically receive a Client Agreement before TradeHall issues a product or provides a service to you.



3. ABOUT TRADEHALL

- 2.1 TradeHall is a company incorporated in Australia, specialising in offering a wide range of financial products and services to an extensive client base worldwide.
- 3.2 TradeHall is a trading name of HLK Group which holds an Australian Financial Services Licence (AFSL), 435746. HLK Group is specialised in Managed Discretionary Account (MDA) Services and is regulated by the Australian Securities and Investment Commission (ASIC).

How to contact TradeHall

Phone: +612 9098 4727

Email: support@tradehall.co

Website: tradehall.co

Address: 5 Calcetto PL Arundel Qld, 4214 New South Wales



4. AUTHORISATIONS AND SERVICES PROVIDED

- 4.1 According to the AFSL regulations, TradeHall is authorized to provide over-the-counter (OTC) financial derivatives trading and execution services and provide general financial product advice. It acts as the issuer, market maker and dealer of its OTC derivatives.
- 4.2 When you trade TradeHall's OTC derivatives, TradeHall acts as the principal and TradeHall is the issuer of the product. TradeHall is responsible for all financial derivative products and services issued to you, and does not act on behalf of any other financial service licensees.



4.3 Products

TradeHall is authorized by ASIC to conduct spot foreign exchange (“Spot FX”, “Forex”) and contract for difference (“CFDs”) transactions on stocks and stock indexes quoted on major exchanges around the world. TradeHall also offers a wide range of CFDs in other markets, including commodities, indices, forex, spot metals, ETFs and crypto.

4.4 CFDs are marginal over-the-counter equity derivatives that allow clients to trade shares or other financial products without the need for physical hold of the underlying stocks or instruments. A contract for difference constitutes an agreement between the two parties to exchange the difference between the opening price and closing price of the contract at the end of the contract, multiplied by the number of units specified in the contract. The products and services issued by TradeHall are applicable to all retail, wholesale and professional investors.



5. NATURE OF ADVICE

- 5.1 TradeHall provides only general financial product advice - no personal advice will be offered.
- 5.2 The general financial product advice provided by TradeHall relates only to the services and products offered and will not be based on your personal circumstances. Newsletters, trade alerts and research papers are examples of general advice TradeHall may give you.
- 5.3 Therefore, before taking any suggestions, you should consider your personal goals, financial situation and needs, and consider the appropriateness of the suggestions and products. Under relevant circumstances, before deciding whether to use the product, you should obtain the TradeHall PDS and carefully consider the content related to the product in the PDS.
- 5.4 You should also obtain professional financial advice regarding the suitability of the products and services offered in light of your personal financial needs, objectives and circumstances from a licensed professional.



6. ARRANGEMENTS WITH EXTERNAL SERVICE PROVIDERS

- 6.1 TradeHall may hire third parties to provide products and services on its behalf from time to time. If the third party does not own its own AFSL, it will provide products and services as an TradeHall Authorized Representative ('AR')-it can be an individual or a legal entity, and TradeHall is responsible for the conduct of the AR.
- 6.2 Please note that TradeHall has no relationship or association, which may affect TradeHall's provision of its products and services to you.



7. COMMISSION AND PRODUCT COSTS

7.1 Fees / Charges

You may be charged fees for the financial products and services you receive from TradeHall.

You may pay commissions or fees (plus Goods and Services Tax ('GST')) based on the products and services provided, it will be disclosed to and agreed with you, prior to the commencement of your transaction with TradeHall. Such commissions or fees may vary according to the type and level of services provided, the scale and frequency of transactions.

You may also incur failure fees due to transaction failures, or pay interest charges on unpaid items. By using and continuing to use TradeHall products and services, you agree to:

- as described in this FSG, all fees collected by TradeHall are deemed to be your benefits for TradeHall in exchange for the market making and trading services provided by TradeHall;
- TradeHall does not charge volume-based or asset-based fees for any recommendations it provides; and
- you understand, consent to, authorise and direct TradeHall to charge you in this way.

A full description of the fees and charges that TradeHall receives for issuing its products and services will be contained in the PDS.

7.2 Remuneration

In general, TradeHall's remuneration is included in the terms of the OTC derivative price quoted to you (it is unknown before the date of issuance and cannot be determined before the transaction is closed).

TradeHall may also arrange for you to be supplied with financial services or products issued by non-related product providers, and consequently receives a fee, commission or other type of remuneration or benefits from these non related issuers as a result of you investing in one of their products or services. Any remuneration or benefits that TradeHall may derive from these non related issuers is included in the fees and commissions agreed with you – you do not pay extra.

You may request particulars of any remuneration, commission or benefits payable to TradeHall in respect of a particular product or service.

The amount paid to TradeHall from third-party product issuers will vary from time to time.

All benefits to TradeHall form part of TradeHall's overall earnings.

7.3 Benefits received by TradeHall Employee

All TradeHall employees are paid in the form of salary and other employee benefits. Employees can receive commissions or other benefits through one or more of the following methods:

- payments to achieve sales and revenue targets generated either by their own sales or for referring customers to TradeHall;
- receive bonuses based on the total value of products sold or the number of employees sold; or
- bonuses are based on the combination of the performance of the employee team or business department and the employee's own performance-these benefits will not affect the recommendations provided by the employee, so a balanced method is used to calculate performance-based bonuses.

The benefits of TradeHall employees can be monetary or non-monetary. Monetary benefits are usually paid directly to eligible workers and are paid from the same account where their wages are paid, or in some cases, by another account designated by the employee. Non-monetary benefits can include prepaid vacation accommodation, gift vouchers or study assistance.

7.4 Benefits received by third-party referrers

TradeHall may pay commissions or other benefits to outsiders who refer clients to TradeHall. Mainly, the recommending party will specify an additional "spread", that is, the difference between the purchase price and the asking price of the specified tradable instrument, or the fee to be charged to the recommending client.

The detailed information of the commissions and spreads that you should pay when trading with TradeHall may be specified in the PDS or upon written request.



8. INSTRUCTIONS

- 8.1 You may give TradeHall dealing instructions either by computer, mobile device or via the online trading platform.
- 8.2 Any other form of communication that is not a dealing instruction may be made by telephone, in person, or in writing by post or email. It should be noted that our telephone lines are recorded in order to provide a record of transactions.



9. PROFESSIONAL INDEMNITY INSURANCE

- 9.1 TradeHall has professional indemnity insurance in place which satisfies the requirements for compensation arrangements pursuant to the Corporations Act.
- 9.2 This insurance policy covers claims against the professional services and products provided by TradeHall, as well as the actions of TradeHall's current and former employees (TradeHall is responsible for the actions of employees when relevant actions occur).
- 9.3 Please note that you have no direct right to claim this policy which is taken out to ensure that there are sufficient resources to meet claims against TradeHall.



10. DISPUTE RESOLUTION

- 10.1 TradeHall has internal and external complaint resolution procedures. If you have any complaints or questions about the products or services provided by TradeHall, you should first contact the TradeHall customer service team or your account manager. If you are not satisfied with the resolution of your complaint, kindly write an email to TradeHall Complaint Resolution Team, support@tradehall.co.
- 10.2 All complaints or questions will be promptly and comprehensively investigated. The TradeHall Complaint Resolution Team will conduct a comprehensive investigation of your complaint or inquiry, and report its findings to you by phone or in writing. If you are not satisfied with the report received, you can ask the TradeHall compliance department to investigate the issue further. You will receive a written report on the results of the further investigation.



11. REGULATORY OBLIGATIONS

- 11.1 TradeHall is committed to ensuring that customers' comprehensive and accurate records are properly maintained.
- 11.2 As the holder of AFSL, TradeHall is obligated to verify your identity and any source of funds in accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 ("AML/CTF Act"). This means that before TradeHall establishes a trading account, TradeHall will ask you to provide identification documents, such as a valid passport or driver's license (this information will be kept securely).
- 11.3 Please note that if you are unwilling to provide TradeHall with the required documents, TradeHall may not be able to issue any products or provide any services to you.



12. PRIVACY POLICY

- 12.1 All information about you collected by TradeHall will be handled in accordance with the TradeHall Privacy Policy, which can be found and downloaded online at www.tradehall.co.
- 12.2 TradeHall only discloses personal information to external parties for the purpose of executing, clearing and settlement of transactions, or acting on its behalf in its business operations or in relation to the transactions to be conducted.
- 12.3 Such external parties are required and committed to protecting your privacy and where they are offshore, TradeHall takes reasonable steps to ensure that to the maximum extent reasonably possibly any information sent has the same level of privacy protection as TradeHall provides in Australia.
- 12.4 Without your consent, TradeHall will not disclose your personal information in other ways, unless authorized or required by privacy laws. When TradeHall collects, uses, discloses or handles your personal information, it is committed to compliance with the Privacy Act 1988 (Commonwealth) ('Privacy Act'), the Australian Privacy Principles ('APPs') and the General Data Protection Regulation (EU) 2016/179 ('GDPR').

Get in Touch

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info@tradehall.co

TradeHall Limited is registered and regulated by the St. Vincent & the Grenadines (Business Company No. 25908 BC 2020).

TradeHall Pty Ltd is registered and regulated by the Australian Securities and Investments Commission (Authorised Representative No. 001282038).

Tradehall Limited is registered and regulated by the The Financial Transactions and Reports Analysis Centre of Canada (ID M21081525).

TradeHall Limited is registered and regulated by the United State America (USA) National Futures Association (ID 0530678).