

# Financial Services Guide (FSG)

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Risk Warning: Margin trading involves a high level of risk and is not suitable for all investors. You should carefully consider your objectives, financial situation, needs and level of experience before entering into any margined transactions with Blueberry Markets, and seek independent advice if necessary. Forex and CFDs are highly leveraged products, which means both gains and losses are magnified. You should only trade in these products if you fully understand the risks involved and can afford to incur losses that will not adversely affect your lifestyle.

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## 1. A Guide to Our Relationship with You

This Financial Services Guide (FSG) is issued to you by Blueberry Markets (referred to as Blueberry Markets, we, our, or us) operating as a Corporate Authorised Representative under ACY Securities Pty Ltd (ABN 80 150 565 781). ACY is authorised and regulated by the Australian Securities and Investments Commission (ASIC), with licence number 403863.

ACY is an investment management and execution services business, which offers you the ability to trade international financial markets via over the counter (“OTC”) derivative products. ACY also provides both general and deals in financial products on your behalf.

## 2. About this Financial Services Guide

The purpose of this Financial Services Guide (“FSG”) is to detail the financial services offered by us and to assist you in making an informed decision whether to use our services, before seeking our advice. This FSG has been prepared in accordance with, and complies with, the applicable legal and regulatory requirements.

### **This FSG explains:**

- > Other disclosure documents and statements we may give you;
- > Who we are and how you can contact us;
- > Financial services and products we are authorised to provide;
- > How you can instruct and communicate with us;
- > How we get paid (remuneration, commissions, benefits);
- > How we deal with customer complaints and where you can go for further help;
- > Our compensation arrangements;
- > Potential conflicts of interest; and
- > Records we keep and how we deal with your personal information.

This FSG contains general information. If you have further questions after reading it please contact us.

## 3. Other Disclosure We May Give You

We provide clients with the relevant documentation to facilitate transactions as requested. These may include, but are not limited to, Account Application forms, Product Disclosure Statements, Terms and Conditions, Statements and trade confirmations.

**Execution Services:**

We can provide you with factual information and research (on a strictly general advice basis only) and facilitate execution requests. No personal advice will be provided in relation to our execution services.

**Product Disclosure Statements:**

Where we provide you with general advice in relation to a product (other than securities listed on the ASX as a retail client, we will provide a Product Disclosure Statement (“PDS”), which will assist you in deciding whether to acquire the financial product. The PDS contains important information about the product features, benefits, risks and fees associated with that product. The PDS should be read carefully to enable you to make an informed decision about whether this product is appropriate for you.

**Terms and Conditions:**

This document is the contract between you and Blueberry Markets in regards to our execution services. It is legally binding and you will need to read and agree to it before opening an account with us.

## 4. Our Contact Details

**Address:** Level 4, 15 Blue Street, North Sydney, NSW, 2060, Australia  
**Phone:** +61 2 7908 3946  
**Email:** [support@blueberrymarkets.com](mailto:support@blueberrymarkets.com)  
**Web:** [www.blueberrymarkets.com](http://www.blueberrymarkets.com)

## 5. Financial Services and Products We Are Authorised to Provide

We can provide you with the following range of financial services:

- 5.1 provide financial product advice on the following classes of financial products:
  - i. derivatives;
  - ii. foreign exchange contracts;
- 5.2 deal in a financial product by: applying for, acquiring, varying or disposing of those products on behalf of another person in respect of the following classes of financial products:Our AFSL authorises us to provide the above services to retail and wholesale clients. In summary, we provide you with general product advice and execution service for derivatives and margin FX trading.
  - i. deposit and payment products (limited to basic deposit products);

- ii. derivatives;
- iii. foreign exchange contracts;

5.3 make a market in:

- i. foreign exchange contracts; and
- ii. derivatives.

Our AFSL authorises us to provide the above services to retail and wholesale clients. In summary, we provide you with general product advice and execution service for derivatives and margin FX trading.

## 6. Nature of Advice and our Responsibilities

We will provide you with general advice in relation to derivatives and foreign exchange contracts.

Any general advice we provide to you, as a retail client does not take account of your Personal Circumstances. Before acting on any general advice, you must consider the appropriateness of the advice in light of your Personal Circumstances, and obtain independent professional advice if appropriate. Product Disclosure Statements, newsletters, trade alerts and research papers are examples of general advice we may give you.

## 7. Products We Provide

### **Execution Service:**

We provides an execution service and provides you with general advice in relation to over the counter (“OTC”) derivatives. We acts as a market maker when dealing in OTC derivatives. Accordingly, We may act as principal in transactions with you in respect of OTC derivatives.

## 8. How to Instruct Us

Before transacting with us you must open an account with us. You may then give instructions to us in any of the following ways:

- > by the telephone (please note your telephone calls to us may be recorded); and
- > in writing (including by email or facsimile by prior arrangement, note you must confirm with us that such instructions have in fact been received by us).

## 9. How Do We Get Paid?

### **Transaction based fees for Execution Services:**

We are remunerated through the fees and commissions that we charge you for executing transactions electronically via our trading platforms, or by us executing on your behalf. Fees and commissions charged to you will depend on the type of financial product being traded, the frequency of your trading activity, the type and level of service required and the size of your transaction.

Fees and commissions are subject to negotiation prior to transacting any business. Fees and commissions, once disclosed and agreed, will be charged to your Account at the time any transaction is executed.

## **10. Commissions, Remuneration and Other Benefits Received by Blueberry and our Employees**

Our employees and directors are remunerated by way of salary and other employee benefits. They may also be eligible for a discretionary bonus related to business objectives generated from their clients depending on the level of salary and the aggregate revenue that they earn. Such payments are generally made in the form of monetary benefits and are paid quarterly or annually.

## **11. Compensation Arrangements**

ACY holds Professional Indemnity Insurance that complies with s912B of the Corporations Act and ASIC Regulatory Guide 126. This insurance covers the activities conducted under their AFSL. The policy provides coverage in the aggregate of up to AUD\$2,500,000 to cover claims regarding professional negligence, directors and officers liability, crime (fraud) and the conduct of representatives (including representatives who no longer work for us but who did at the time of the relevant conduct). The Professional Indemnity Insurance cover is subject to the policy terms and conditions.

## **12. Conflict of Interest**

Conflicts of interest may occur from time to time. We will advise you of any material interest that could reasonably be expected to influence our provision of services to you.

## **13. Dispute Resolution**

We want to know about any problems or concerns you may have with our services, so we can take steps to resolve the issue. We have internal and external dispute resolution procedures to resolve complaints from clients. A copy of these procedures may be obtained by contacting us. Initially, all

complaints will be handled and investigated internally. Should you feel dissatisfied with the outcome, you have the ability to escalate your concerns to an external body for a resolution.

ACY is a member of the Australian Financial Complaints Authority.

You can contact the Australian Securities and Investments Commission on 1300 300 630. This is a free call info line. This is another alternative that you may use to make a complaint and obtain information about your rights.

Australian Financial Commission Authority (“AFCA”) (number 26427), which is an approved external dispute resolution scheme that can deal with complaints about all of the financial services ACY Securities Pty Ltd provides under its AFSL.

If you have a complaint about the financial services provided to you, please take the following steps: Contact us to inform us about your complaint. You may do this by telephone, facsimile, email or letter. If you are dissatisfied with the outcome, you have the right to complain to the Australia Financial Complaints Authority (AFCA) in writing at:

**Australian Financial Complaints Authority:**

**Address:** G.P.O. Box 3 Melbourne VIC 3001

**Telephone:** 1800 931 678

**Facsimile:** (03) 9613 6399

**Web:** [www.afca.org.au](http://www.afca.org.au)

**Email:** [info@afca.org.au](mailto:info@afca.org.au)

## 14. Our Record Keeping Obligations

We will maintain comprehensive and accurate records of your client transactions and advice provided.

## 15. Our Privacy Policy

We are committed to protecting your privacy. The information you provide to us and any other information provided by you in connection with the services provided by us under this FSG will be used for the primarily for processing your application and providing you with advice and complying with certain laws and regulations.

A copy of our Privacy Policy is available on our website.

Please contact us if you have any other concerns or if you would like further information.