



Financial Services Guide

Superhero Nominees Pty Ltd (ABN 68 642 021 823), Authorised Representative (No. 1282849) of Superhero Securities Limited (ABN 18 136 960 775) (AFSL No. 430150) (“**Superhero Nominees**”)

4 JULY 2021

References in this document to “Superhero Nominees”, “we”, “our”, or “us” refer to the above entity.

The purpose of this Financial Services Guide (“**FSG**”) is to inform you of the financial services provided by Superhero Nominees as an Authorised Representative of Superhero Securities Limited (ABN 96 160 456 315) (“**Superhero Securities**”), which is the holder of an Australian Financial Services Licence (“**AFSL**”) (Licence No. 430150). Superhero Securities has authorised the distribution of this FSG by Superhero Nominees.

This FSG is meant to assist you to decide whether to use our services and to explain:

- who we are;
- what financial services we provide and what our responsibilities are;
- how you can instruct us;
- details of associations and relationships;
- what fees, remuneration and other benefits may be paid to us, our employees or others;
- what to do if you have a complaint, and how it will be dealt with;
- how your personal information is dealt with; and
- how you can contact us.

This FSG contains only general information about the services we offer. If you still have any questions after reading this FSG, please contact us. Our contact details are listed at the end of this FSG.

What other disclosure documents and statements will I receive?

Generally, where we arrange for the issue of a financial product to you, you will receive a Product Disclosure Statement (“**PDS**”) or other relevant disclosure documents that include information about the product so that you can make an informed decision whether to acquire the product. It would include any relevant terms, significant risks and costs associated with the supply of that financial product.

Who are we?

Superhero Nominees is a related entity of Superhero Markets Pty Limited (ABN 36 633 254 261) (“**Superhero Markets**”) that operates as an Authorised Representative (No. 1276309) of Sanlam Private Wealth Pty Limited (AFSL No. 3379270). A separate FSG is available at www.superhero.com.au for Superhero Markets.

Superhero Markets provides its customers with the ability to invest in and trade select securities on the Australian Securities Exchange and Chi-X exchanges. Superhero Markets is the operator of the Superhero trading platform, which comprises our website at www.superhero.com.au and our application (“**Superhero Platform**”).

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What financial services do we provide and what are our responsibilities?

Superhero Nominees is an Authorised Representative of Superhero Securities. Accordingly, Superhero Nominees acts on behalf of Superhero Securities.

Superhero Nominees does not act as a representative of any other licensee in relation to the services or products it provides.

Superhero Nominees, is authorised by Superhero Securities to provide the following financial services:

- operate custodial or depository services other than investor directed portfolio services;

to retail and wholesale clients.

Superhero Nominees provides custodial or depository services in respect of the following classes of financial products to retail and wholesale clients:

- deposit and payment products;
- interests in managed investment schemes (excluding investor directed portfolio services); and
- securities.

Superhero Nominees will hold on bare trust all financial products acquired by you and any cash deposited by you through the Superhero Platform and will provide custodial or depository services (other than those services offered by an IDPS) to you, whether you are a wholesale or retail client. You will be able to provide instructions to Superhero Markets to deal in financial products via the Superhero Platform.

Superhero Markets may provide general advice and information regarding financial products and services that can be dealt through the Superhero Platform. This information or advice does not take into account your personal and financial circumstances, needs and objectives and because of that you should, before acting on the advice, consider the appropriateness of the advice having regard to your personal and financial circumstances, needs and objectives. Both Superhero Nominees and Superhero Markets, do not provide and are not authorised to provide personal financial product advice. It is up to you to decide whether or not you want to use our services, and if you need assistance or advice in this regard, you should consult a suitably qualified financial adviser. You will not receive a Statement of Advice from Superhero Markets or Superhero Nominees.

The terms and conditions in relation to the services we provide, including the nominee services provided by Superhero Nominees, are available at www.superhero.com.au (**Terms and Conditions**).

How can you instruct us?

Superhero Markets will accept your order instructions via the Superhero Platform which is available at www.superhero.com.au.

If you place a trade with us, we will send you a confirmation once your order has traded. You must review the confirmation immediately upon receipt to ensure its accuracy and report any discrepancies to us via our LiveChat function on our website.

Details of Associations or Relationships

Superhero Nominees has associations and relationships with Superhero Securities, Superhero Markets, OpenMarkets Australia Limited and National Australia Bank Limited.

What are the fees, remuneration and other benefits that may be received by us, our employees and others?

The information in this section is subject to change and does not include information in relation to taxes or duties that you may be required to pay in relation to an investment. Unless otherwise stated, all fees, charges, commissions and benefits disclosed in this FSG are exclusive of the Goods and Services Tax (GST).

Superhero Markets is remunerated directly through the fees it charges you. Superhero Markets charges a brokerage fee of \$5.00 (inclusive of GST) for online trades via the Superhero Platform. The full list of Superhero Markets current fees are available on our website at www.superhero.com.au.

Superhero Nominees is not separately remunerated for the custodial or nominee services it provides to clients as described in this FSG.

Superhero Nominees may also receive remuneration in the form of interest payable on cash balances in your Superhero trading account. This interest is paid by the authorised deposit-taking institution (“**ADI**”) which holds the relevant account at a rate determined by the ADI from time to time.

The actual fees, commissions and charges payable by you will depend upon the relevant services provided by Superhero Markets. Further details of fees, commissions and charges payable by you are set out in the [Member Terms and Conditions](#).

Unless otherwise authorised by you, Superhero Markets and Superhero Nominees employees and directors are not remunerated on a commission basis for the services provided to you. Our employees and directors receive salaries, bonuses and other benefits and incentives (both monetary and non-monetary) from Superhero Markets. Bonus payments and other benefits are discretionary, and are based on achievement of predetermined objectives.

If you have a complaint, how will it be dealt with?

If you wish to make a complaint, our Complaints Team can be contacted via LiveChat through our website or by email at hello@superhero.com.au. We will try to resolve your complaint honestly, efficiently and fairly.

In the event that we are unable to resolve any issue or complaint, you can contact Superhero Securities who has a formalised client complaint resolution procedure in place to resolve any complaints or concerns you may have about the services provided to you. These should be directed to compliance@superhero.com.au.

Superhero Securities reviews and investigates all complaints it receives. If you make a complaint, the first response will be to contact you to discuss the complaint and to register a formal record of such complaint.

If, despite our best efforts and the efforts of Superhero Securities, you believe your complaint has not been satisfactorily dealt with, Superhero Securities offers the use of an independent industry arbiter, namely, the Australian Financial Complaints Authority (“**AFCA**”), of which it is a member (No. 31571). Superhero Securities has agreed not to contest a final resolution from AFCA.

You can contact AFCA by writing to:

Australian Financial Complaints Authority
GPO Box 3
Melbourne VIC 3001
Toll Free: 1800 931 678
Email: info@afca.org.au
Website: www.afca.org.au

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Superhero Securities, as the authorising licensee for each of the Superhero entities, holds Professional Indemnity Insurance cover for the activities conducted under its AFSL and continues to maintain Professional Indemnity Insurance that satisfies the requirements of section 912B of the *Corporations Act 2001* (Cth).

How is your personal information dealt with?

If you open an account with Superhero Markets you will be required to provide to us certain personal information in accordance with our Terms and Conditions and our Privacy Policy. This information is collected so that we can provide our services to you and to comply with our legal requirements, including under the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth).

Privacy is an important issue for us and we are committed to ensuring full compliance with Australian privacy laws.

Please see our Privacy Policy which can be accessed at www.superhero.com.au for more information.

How can you contact us?

Superhero Markets Pty Limited
Superhero Nominees Pty Ltd
Level 13, 4-6 Bligh Street
Sydney NSW 2000
Email: hello@superhero.com.au
Website: www.superhero.com.au