

Amplifying Global FX Capital

Financial Services Guide

This Financial Services Guide has been prepared by Amplifying Global FX Capital Pty Ltd (“AmpGFX”, “we,” “us,” “our”) to assist you in deciding whether to use any of the financial services offered by us.

It provides information about:

- Who we are
- The financial services we provide
- How we are remunerated
- Managing conflicts of interest
- How we deal with complaints

If you require further information or clarification, please contact us.

Our Company

Full company name: Amplifying Global FX Capital Pty Ltd

Location: AmpGFX is an Australian company registered with the Australian Securities and Investment Commission (ASIC).
Australian Company Number (ACN): 605 249 134
Australian Business Number (ABN): 81 605 249 134

Founded: AmpGFX was registered on 13 April 2015
It began producing research reports in October 2015

Licence: AmpGFX is licensed as an Australian Financial Services Licensee (AFSL) pursuant to section 913B of the Corporations Act 2001.
Licence No: 477601

Physical Address: 699 Captains Flat Rd
Carwoola, N.S.W. 2620
Australia

Phone Number: +61 417 269 464

Principals of AmpGFX

Greg Gibbs: Founder, Director, Sole Equity Owner, Analyst, Portfolio Manager
Email: greg.gibbs@ampGFXcapital.com
+1 970 409 2877

Robert Gibbs: Director, Business Manager
Email: robert.gibbs@ampGFXcapital.com
+61 417 269 464

Website <https://ampgfxcapital.com>

Office Structure

AmpGFX maintains offices in two locations, one in Australia and one in the United States of America.

Australia office: 699 Captains Flat Rd
Carwoola, N.S.W. 2620
Australia
Phone number: +61 417 269 464

USA Office: 372 Revett Dr
Breckenridge, Co. 80424
U.S.A.
Phone number: +1 970 409 2877

Greg Gibbs works most of the year in the USA office, although frequently travels to Australia and other parts of the world to visit clients and contacts. Robert Gibbs resides in Australia.

Biographies

Greg Gibbs, Founder, Director, Sole Equity Owner, Analyst, Portfolio Manager

Greg began his career at the Reserve Bank of Australia in 1989, and in the early 1990s he was the first economics graduate at the Bank to be assigned to the foreign exchange dealing desk. In 1995, he managed the Bank's Japanese bond portfolio in FX Reserves.

In 1996, Greg joined Bankers Trust Australia on the FX sales desk covering Australian and international fund managers. In 1999, Greg worked in London as a Specialist on the AUD and NZD covering institutional clients in Europe.

In October 1999, he joined Westpac Bank in New York and switched to the research side to become the bank's first FX strategist based in New York, carving out a role covering major currencies.

In 2002, he returned to Australia as senior FX strategist at RBC covering APAC currencies, and in 2006 he moved to ABN AMRO in Sydney.

Greg continued to work on at RBS in Sydney as senior FX strategist after it took over ABN AMRO in the largest financial sector acquisition before the Global Financial Crisis in 2008. He moved to Singapore in July 2012 after the bank consolidated its FX business in Asia, and was appointed Head of APAC Markets Strategy for the bank in February 2014.

In early 2015, Greg began to work on establishing his own company, Amplifying Global FX Capital and launched its website in August 2015 after completing duties at RBS.

Greg holds a Bachelor of Economics (Honours) from the Australian National University and is a CFA Charterholder since 2005.

Robert Gibbs, Director, Business Manager

Robert retired as the General Manager of Australian Capital Territory Electricity and Water (ACTEW) in 2002. He holds a Bachelor of Electrical Engineering from the University of New South Wales and an Executive MBA from Harvard University.

Financial Services Licence

Our Company, Amplifying Global FX Capital Pty Ltd (ABN: 81 605 249 134) is licensed as an Australian Financial Services Licensee (AFSL) pursuant to section 913B of the *Corporations Act 2001*.

This license authorises AmpGFX to carry on a financial services business to:

- (a) Provide general financial product advice for the following classes of financial products:
 - (i) deposit and payment products limited to:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products;
 - (ii) derivatives;
 - (iii) foreign exchange contracts; and
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government; to retail and wholesale clients.
- (b) Deal in a financial product to wholesale clients only by:
 - (i) Applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) Derivatives; and
 - (B) Foreign exchange contracts.

AmpGFX History

AmpGFX was founded in 2015 and is fully owned by Greg Gibbs. From October of that year, we started producing our flagship “AmpGFX Report”. This report is a trading view orientated macroeconomic analysis of topical themes in global financial markets, with a particular focus on foreign exchange.

Greg Gibbs is the sole author of this report. He also manages capital held in our company (AmpGFX).

Since September 2017, AmpGFX has also produced “Real-Time Trading Strategy Briefings”. These share our specific trading strategy used to manage the capital held by our company (AmpGFX). And additional commentary related to our trading strategy and other market developments.

In 2017, AmpGFX received an amendment to its AFSL to deal in financial products on behalf of wholesale customers. In 2018, it opened a ‘Money Manager’ account with Saxobank Australia. Through this account, AmpGFX plans to offer wholesale customers (as defined in Australian ‘Corporations Act 2001’) a service where it manages their capital held in their own Saxobank account.

AmpGFX Services

AmpGFX is a financial market research provider that trades its own capital, and plans to manage trading accounts for wholesale customers in a limited and controlled context.

It produces two research products:

AmpGFX Report: An in-depth analysis of topical financial market developments with a focus on the foreign exchange market. This report is produced around 1 to 3 times per week.

The report assesses a wide range of factors covering economic data, government and central bank policy, cross-market analysis and behavioural science.

It is posted on our website, and on several third-party research platforms. These include Smartkarma, RSCHXchange, and Researchpool. These platforms are compliant with securities laws in their own jurisdictions, and are highly recognised in their industry. They are global businesses; SmartKarma is based in Singapore, RSCHXchange and Researchpool are based in the UK.

To access this report from our website, customers purchase an annual subscription. They are then able to access the report using a unique login and password.

Access to third-party platforms also requires the purchase of a subscription, or payment for individual reports. They also operate via individually protected password access to their websites.

The AmpGFX Report includes an executive summary followed by a combination of written material and charts. The primary source for this analysis is Bloomberg, government and central bank websites, and reputable news services.

The executive summary is used to market the report and is provided freely viewable on the research platforms described above and social media including Twitter, LinkedIn and Facebook.

Please see AmpGFX Policies and Procedures for more detail on how we maintain quality control.

Real-Time Briefings: Are quick notes, typically including information on our specific trades undertaken with the capital held by our company (AmpGFX). Information on trades includes entry levels, related orders, and our percentage capital at risk. They also include a comment on the rationale for new trades, and a list of outstanding positions, and their related orders.

Alternatively, Real-Time Briefings may be a quick note on recent market developments.

Real-Time briefings are intended to be timely. In particular, briefings with trading strategy are released to customers as soon as is practicable after we have traded on behalf of our company's capital.

Real-Time Briefings are sent first via email to subscription customers. At a later date, they are uploaded to our company website, to maintain a permanent record. These can only be viewed via individual login and passwords by subscribers. They are not posted on any other platforms.

Please see AmpGFX Policies and Procedures for more detail on how we manage conflicts of interest.

Consulting: We provide specialised services on a request basis. These includes:

- Written reports on specific currencies with a specific horizon set in weeks, months or years;
- Preparing presentations to be delivered to an audience on FX markets with a medium-term horizon, meaning months or years;
- Discussing our written reports and trading views around recent or upcoming events.

Please see AmpGFX Policies and Procedures for more detail on how we manage conflicts of interest.

General Advice Warning

AmpGFX is licensed only to provide 'general advice'. General advice does not constitute 'personal financial advice'. Accordingly, all of our research reports including the AmpGFX Report and Real-Time

Briefings, any material produced on a consulting basis, and any material on our website, has been prepared without taking into consideration yours, or any individual's, personal objectives, financial situation or needs.

Trading in foreign exchange, financial securities and derivatives can involve substantial risk. The information that we provide or that is derived from our website should not be a substitute for advice from an investment professional. We encourage you to obtain personal advice from your professional investment advisor and to make independent investigations before acting on the information that you obtain from AmpGFX or derived from our website. Only you can determine what level of risk is appropriate for you.

In Australia, your financial advisor will provide you with a Statement of Advice (SoA). If you are seeking to acquire a specific financial product or security, you should obtain a copy of and consider the Product Disclosure Statement ("PDS") or Prospectus for that product before making any decision.

Subscription Payments and other Revenue

Our 'AmpGFX reports' and 'Real-Time Briefings' are provided on a subscription basis where we charge a fixed fee to receive our reports on an annual basis. This fee can be paid directly to our company to access reports from our website.

Alternatively, customers can buy individual AmpGFX reports or subscribe to annual subscriptions from several third-party research platforms. These include:

SmartKarma.com

Researchpool.com

RSRCHXchange.com

These third-party companies pay AmpGFX, and other research companies like ours, an amount based on the revenue they earn from customers accessing the research on their platforms.

AmpGFX also charges fees for its consulting services. Fees are negotiated based on the time taken to research, prepare materials and give presentations.

AmpGFX has written articles for other companies, including FIIG's "The Wire" that have been published on their website. These articles are not published on our website and are the property of the customer. We have earned revenue again based on the time preparing the articles.

AmpGFX trades its own capital. The trades we takes are the same as those we report in our "Real-Time Briefings". These are the only trades we take and we earn revenue (or losses) related to these trades.

Managing Conflicts of Interest

Please see our Policy and Procedures Document for more detail on how we maintain quality control and manage conflicts of interest.

Our policy is that the views expressed in our reports must accurately reflect the author's personal opinion about the referenced currencies and financial market products discussed. The views must not be designed to influence or manipulate market opinion.

The research resources/sources used in the analysis that informs our reports are only publicly available and reputable.

We do not accept consulting work where we are asked to come to a specific conclusion.

Only Greg Gibbs is authorised to trade for our company. All trading for the AmpGFX must be conducted through our company account held at Saxobank. The products are limited to those permitted under our licence: FX, and commodity and financial futures.

Greg Gibbs can only undertake trades that reflect the research he undertakes as an analyst and author of our reports. The rationale for the trades must be fully articulated at the time of trading. The trades must not be based on knowledge of, rumour or hearsay related to flows in the market. The trades must rely on research that is detailed, extensive, and based on factual and verifiable publicly available sources.

The research reports should be consistent with the trading activity. However, the trades should not drive the research reports. By following our code of conduct, the research reports will not be a vehicle to influence the market in a way to make our trades profitable.

We maintain a panel of independent Financial Market Professionals that monitor our AmpGFX reports and Real-Time Strategy Briefings to provide feedback on whether our reports appear to meet our standards on quality control and industry standards on managing conflicts of interest.

The panel is asked to flag instances where it appears that our AmpGFX reports expressed an opinion that contradicted the trading strategy expressed in a Real-Time Briefing. Or a Real-Time briefing changed trading strategy abruptly from opinions in an AmpGFX report without adequate justification. Such instances should not occur and would be referred to our Compliance Control Group for remedial action.

All our trades for the company are fully disclosed in Real-Time briefings. A full record of these trades is maintained on our website for at least the last year. The trading performance results are posted on our website monthly. The results are calculated directly from the reports provided by Saxobank for our company trading account and can be verified to be consistent with the Real-Time briefings posted on our website.

An annual audit conducted as a requirement of maintaining our AFSL confirms that our company accounts are consistent with Saxobank trading account statements.

Our policy is to require employees to disclose to our Compliance Control Group (CCG) all personal account transactions in foreign exchange, interest rates, bond markets, and commodity financial instruments related to trading and investment. These are instruments that we trade on behalf of our company in our single SaxoBank company account.

Such transactions are allowed in personal investment accounts such as retirement savings accounts, but they are subject to a minimum three-month holding period. Such transactions, as mentioned, must be

disclosed to our CCG. They must not occur in instruments for which the employee may be in possession of Material Non-Public Information (MNPI).

We require employees to abide by all local laws related to securities investment, including not dealing in securities for which they may be in possession of MNPI. We require employees to disclose when they are in possession of MNPI to our CCG. The CCG will keep a record of MNPI and review if any trading by AmpGFX employees for our company or reported in their personal accounts is in financial products that might be affected by the MNPI.

Our policy is for employees to disclose outside business interest activities. These must be approved by our Compliance Control Group.

We do not accept or offer gifts or entertainment that may be frequent or lavish so as to appear to create an inappropriate obligation or expectation.

We take personal responsibility for our actions and hold ourselves accountable. We adhere to the spirit and letter of all laws and regulations in all countries where we may have clients or operate. We act to maintain the integrity and reputation of our company.

We are committed to dealing fairly and transparently with our clients as well as our regulators, the public, competitors, contractors and each other.

Privacy Policy

We collect limited personal information from our customers. When you sign up on our website for a trial or subscription, you are required to provide your first and last name and email address.

We use this information to send you email alerts when our research reports have been posted. These emails include AmpGFX report executive summaries.

We may also use your personal information to send you marketing material about our company's business.

We may use this information to send you payment reminder alerts when your subscription period is coming to an end. And to alert you when your trial period is ending.

You are also required to indicate if you are an Australian resident. We use this information to charge you the 10% Goods and Services Tax (GST); we are required to by law, as an Australian company.

We do not collect any other personal information.

We use third-party services for secure credit card transaction processing, and these third-parties collect your billing information to process your subscription payments. Your payment details are not stored on our website and we are unable to access your payment method details.

As a customer of AmpGFX, you can access the personal information we collect from you in the 'Profile' menu item on our website, after you have logged in. You can change your personal information (name and email address), and your log-in password from your Profile page.

We use an email service (Street Contxt) to send our email alerts and our company's marketing material. We share customers' first and last name and email address to this service provider to build and maintain our email distribution list.

Street Contxt provides analytics to our company on which customers open emails, click links, and forwards email. Street Contxt acknowledges that our company (AmpGFX) owns the customer data and does not provide the customer data or analytics to any other party.

You have the option to unsubscribe from our distribution list. There is an unsubscribe link at the bottom of every email. If you unsubscribe, we promptly delete your record from our distribution list.

We do not share your personal information with any other third-party. If you would like us to erase your personal information from our website, please contact us with this request and it will be promptly actioned.

Complaints process

We try to adhere to the highest standards of service and conduct at all times. Nevertheless, we understand there may be times when you would like to make a complaint about our services. If you have a complaint about the service provided to you, please take one of the following steps:

Contact our customer service officer via email at:

greg.gibbs@ampGFXcapital.com

Or write to us at:

The Complaints Officer

Amplifying Global FX Capital Pty Ltd

P.O. Box 873

Queanbeyan, NSW 2620

Australia

We will try to resolve the complaint as soon as possible, but it will be resolved within 45 days, or it will be referred to the Australian Financial Complaints Authority (AFCA) a dispute resolution scheme which is authorised to deal with complaints in the financial and investment industry.

You may also contact AFCA to deal with complaints. Amplifying Global FX Capital is a member of AFCA (Membership Number: 46273). AFCA will facilitate discussions and negotiations between the parties to help reach an agreement and provide an independent adjudicator if necessary. The complaints resolution procedure is found on its website: AFCA.org.au