

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 produced our flagship “AmpGFX Report”. This report was a trading view orientated macroeconomic analysis of topical themes in global financial markets, with a particular focus on foreign exchange.

In September 2017, AmpGFX also produced “Real-Time Briefings”. These were timely comments sharing our initial thoughts on financial market developments, and FX Market Views.

Greg Gibbs was the sole author of these reports. They were available by individual and group subscriptions directly from our website.

In July 2019, we ended our subscription services. We now provide tailored FX and cross-market macrostrategy services direct to a small group of financial institutions or corporations on an individual contract basis.

AmpGFX also manages its own capital.

AmpGFX Services

AmpGFX provides tailored FX and cross-market macrostrategy research services, and can manage trading accounts for wholesale customers in a limited and controlled context.

Our research services include detailed and comprehensive periodic reports tailored to the needs of individual institutional or corporate customers. These are designed to support an in-house investment process, a company hedging strategy, or to distribute to our client’s customers to support their financial services business.

To compliment our written reports, we also produce video presentations and conduct regular conference calls.

We provide timely short reports and an on-call service to a limited group of clients. This includes a brief analysis of events shortly after they occur, availability on short notice or on-call to discuss views and address upcoming events.

We provide ad-hoc consulting services. This includes special reports on requested topics. And presentations in person; in-house or to our clients’ customers.

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, 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. 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.

Payments and other Revenue

AmpGFX charges a monthly fee for its research service. The rate depends on the range and level of service, and the degree of exclusivity of these services.

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

AmpGFX trades its own capital to earn additional revenue for the company

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, short comments, and any interactions with customers 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 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 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 reports to provide feedback on whether our reports appear to meet our standards on quality control and industry standards on managing conflicts of interest.

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. Only that sufficient to deliver our research reports and on-call strategy services. Typically an email address, phone number, and/or other online contact details.

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

We do not share your personal information with any other third-party. If you would like us to erase your personal information, 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