



FINANCIAL SERVICES GUIDE

A GUIDE TO OUR RELATIONSHIP WITH CLIENTS AND OTHERS

This guide contains important information about:

- who we are,
- the services and products we offer,
- the costs, remuneration and other benefits that may be paid to us, our employees or others,
- any associations or relationships we may have with financial product issuers,
- our internal and external dispute resolution procedures and how you can access them,
- how you can contact us.

We will not provide you with personal financial product advice. We only provide general financial product advice. Accordingly, we will not give you a Statement of Advice. Personal financial product advice is advice, that takes into account one or more of your objectives, financial situation and needs, or advice which could reasonably be regarded as having done so. General financial product advice is advice, which is not personal financial product advice.

Ivanhoe International Pty Ltd, trading as Options21

AFS License No: 247412
ABN: 69 076 144 557
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What is the purpose of this Financial Services Guide?

The purpose of this Financial Services Guide ("FSG") is to ensure that you receive key information about the type of financial service being offered by Ivanhoe International Pty Ltd trading as Options21 ("Options21", "we", "us" or "our").

The contents of this FSG have been formulated to ensure that you receive the information required to make an informed decision about whether to use the financial service that is offered by Options21.

Who is Options21?

Ivanhoe International Pty Ltd began its operations in October 1996, and started trading as "Options21" in February 2001. The company is primarily a financial markets education company, specialising in the delivery of educational seminars and trading software. Options21 conducts regular seminars ranging from basic options trading education to a comprehensive 3 month mentoring program.

Options21 is the sole distributor in Australasia of the Options Analysis package "OptionVue 6". The producer of this software program is OptionVue Systems International, a Chicago based IT company specialising in sophisticated options software analytics.

In addition Options21 offers a newsletter subscription service via "WiseReport". The newsletters contain general trade advice and information, and educational articles, complimenting both the seminars and software.



What kind of financial service is Options21 authorised to provide, and what kinds of financial products do those services relate to?

Options21 is the holder of an Australian Financial Services License ("AFS License") and is authorised to provide general advice in the following financial products: securities (shares), derivatives and foreign exchange contracts.

Although Options21 is authorised to offer the financial service in all derivative products, we specialise in offering the service with respect to option contracts.

Who is responsible for the financial services provided?

Options21 is responsible for the financial services provided, including the distribution of this FSG. Options21 is the holder of an AFS Licence issued by the Australian Securities and Investments Commission (AFS Licence 247412).

Who do we act for when providing the financial services?

Generally, Options21 acts for our clients ("you") when we provide the financial service.

How can you give us instructions?

Options21 is not authorised to accept instructions from you to deal in financial products. Should you wish to act on our advice, you need to place your instructions with a person authorised to accept your instructions in the products in which you wish to deal.

Will we give you advice that takes into consideration your objectives, financial situation and needs?

No, we will only provide general advice to you and information regarding securities (shares), derivatives and foreign exchange contracts. This information or advice will not take into consideration your particular objectives, financial situation or needs. These issues should be considered by you before making any investment decision on the basis of any information or general advice that we provide to you, and you should consider the appropriateness of the advice having regard to your personal circumstances.

Under the law governing financial services, "general advice" has a defined meaning which may be different to what you understand or expect general advice to mean. In the context of the provision of financial services, general advice can include information or an opinion about the financial products and the markets, but general advice does not include any direct or implied recommendation that the financial products referred to are appropriate to your particular objectives, financial situation or needs.

How are we paid for the services we provide?

1. Fees applicable to educational services

We charge fees for you to attend seminars offered by us. Depending on the nature of the seminar, these fees are between \$149 and \$5,987.

2. Fees applicable to software products

We distribute OptionVue 6 software, which is available for a base price of \$USD 995 or via leasing arrangement (from \$USD 100 per month). Options21 receives a commission of up to 40% of this amount.

3. Fees applicable to newsletter services

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Options21

We charge a subscription fee of \$270 per month, which gives you access to trading advice and market updates, with an initial setup fee of \$190.

What remuneration and other benefits are received by our employees?

Our employees do not receive specific payments or commission for the financial services provided to you. Our employees and directors are remunerated by way of salary and discretionary bonus.

Do we have any associations & relationships with others?

We do not have any relationships or associations which might influence us in providing you with our services.

How is my personal information dealt with?

We recognise the importance of ensuring that you have confidence in the way we handle your personal information and that it is kept private. Personal information is any information about you that identifies you, or by which your identity can reasonably be ascertained.

A copy of our Privacy Policy is available on our website, or by contacting our office.

What you should do if you have a complaint?

We want to know about any problems or concerns you may have with our services, so we can take steps to resolve the issue. Options21 has internal dispute resolution procedures, and a copy of these procedures may be obtained by contacting us and requesting a copy.

If you have a complaint about the financial services provided to you, please take the following steps:

1. Contact Options21 to inform us about your complaint. You may do this by telephone, facsimile, email or letter. All complaints will be properly handled and investigated promptly. We will try to resolve your complaint quickly and fairly.
2. If your complaint is not resolved to your satisfaction, you have the right to refer the matter to the Financial Ombudsman Service in writing at: GPO Box 3, Melbourne VIC 3001, Telephone: 1300 780 808. Options21 is a member of this complaints resolution scheme and our membership number is 11775.
3. You can contact the Australian Securities and Investments Commission (ASIC) on 1300 300 630. This is a Freecall Infoline. This is another alternative that you may use to make a complaint and obtain information about your rights.

Who should you contact if you have further questions?

Should you have further questions about the financial service Options21 provides then please contact us. You should retain this Financial Services Guide for your future reference and any future dealings you may have with Options21.

How do you contact us?

- **Telephone** Call us on (08) 9307 8261 or Freecall (Australia) 1800 667 710.
- **Mail or Fax** Write to us at PO Box 744, Hillarys WA 6923
- **Fax** Send a fax to (08) 9307 8471
- **Email** Send us an email to paul@options21.com
- **Web** Visit our website at <http://options21.com>