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Australian Financial Services Licensee - PEPPERSTONE GROUP LIMITED 414530

Licensee Summary

Name: PEPPERSTONE GROUP LIMITED
Licence Number: 414530
Status: Current
ABN: 12 147 055 703
Commenced: 04/02/2013

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Addresses

Principal Business Address: Level 5, 530 Collins Street, MELBOURNE VIC 3000
Service Address: Level 5, 530 Collins Street, MELBOURNE VIC 3000

Roles

Role: Auditor of FS Licensee
Name: ERNST & YOUNG
Commenced: 01/03/2013

External Dispute Resolution

Scheme: Financial Ombudsman Service
Membership Number: 28689
Commenced: 14/10/2011

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Licence Authorisation Conditions

Conditions as at:

- | | | |
|---|------------|---|
| 1 | 22/11/2013 | <p>1. This licence authorises the licensee to carry on a financial services business to:</p> <p>(a) provide financial product advice for the following classes of financial products:</p> <p>(i) deposit and payment products limited to:</p> <p>(A) basic deposit products;</p> <p>(ii) derivatives; and</p> <p>(iii) foreign exchange contracts;</p> <p>(b) deal in a financial product by:</p> <p>(i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:</p> <p>(A) derivatives; and</p> <p>(B) foreign exchange contracts; and</p> <p>(ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:</p> <p>(A) deposit and payment products limited to:</p> <p>(1) basic deposit products;</p> <p>(B) derivatives; and</p> <p>(C) foreign exchange contracts; and</p> <p>(c) make a market for the following financial products:</p> <p>(i) foreign exchange contracts; and</p> <p>(ii) derivatives;</p> <p>to retail and wholesale clients.</p> |
| 2 | 04/02/2013 | <p>1. This licence authorises the licensee to carry on a financial services business to:</p> <p>(a) provide financial product advice for the following classes of financial products:</p> <p>(i) deposit and payment products limited to:</p> <p>(A) basic deposit products;</p> <p>(ii) derivatives; and</p> <p>(iii) foreign exchange contracts;</p> <p>(b) deal in a financial product by:</p> <p>(i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:</p> <p>(A) derivatives; and</p> <p>(B) foreign exchange contracts; and</p> <p>(ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:</p> <p>(A) deposit and payment products limited to:</p> <p>(1) basic deposit products;</p> <p>(B) derivatives; and</p> <p>(C) foreign exchange contracts; and</p> <p>(c) make a market for the following financial products:</p> <p>(i) foreign exchange contracts; and</p> <p>(ii) derivatives;</p> <p>to retail and wholesale clients.</p> |

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