



Financial Services Guide (FSG)

RockGlobal Capital Markets Pty Ltd

ABN 12 108 915 233 | AFSL 282288

Issue Date: 10 November 2025 | Version: 1.0

Contents

Financial Services Guide (FSG)	1
1. About this Financial Services Guide (FSG).....	3
1.1 Other documents you may receive from us.....	3
2. About RockGlobal Capital Markets Pty Ltd	3
2.1 Our Business.....	3
3. Authorisations and Services Provided	4
4. Our Services	4
5. Nature of Advice	5
6. Fees and Charges	5
6.1 Retail Subscriptions	5
6.2 Broker and Institutional Packs.....	6
7. Important Risk Information.....	6
8. How You Can Give Us Instructions.....	6
9. Remuneration and Conflicts of Interest.....	7
10. Professional Indemnity Insurance.....	7
11. Complaints and Dispute Resolution	7
Step 1 - Contact Us First.....	7
Step 2 - External Dispute Resolution (AFCA)	7
12. Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Statement.....	8
13. Records and Privacy.....	8
13.1 Local-First and Data Security Approach.....	9
13.2 Record Keeping	9
14. Contact Details.....	9

1. About this Financial Services Guide (FSG)

This Financial Services Guide (FSG) is issued by **RockGlobal Capital Markets Pty Ltd (ABN 12 108 915 233, AFSL 282288)**.

It is designed to help you decide whether to use the financial services we provide and to ensure you are fully informed about how we operate.

This document outlines:

- Who we are and the financial services we are authorised to provide
- How we are remunerated
- Potential conflicts of interest
- How complaints are handled

1.1 Other documents you may receive from us

Before using our services, you may receive:

- **Terms of Service** – outlining the conditions of use for our platforms and products.
- **Privacy Policy** – detailing how we collect, use, store, and protect your personal information.
- **Financial Services Guide (this document)** – providing information about our authorisations and obligations.

RockGlobal does not issue or deal in financial products and therefore does not provide a Product Disclosure Statement (PDS). Our services are limited to the provision of analytical tools, research systems, and general financial product advice.

2. About RockGlobal Capital Markets Pty Ltd

RockGlobal Capital Markets Pty Ltd is the holder of **Australian Financial Services Licence (AFSL) 282288**, issued by the **Australian Securities and Investments Commission (ASIC)**.

We provide **general financial product advice** and related financial services to retail and wholesale clients within Australia.

Our business is technology-driven, focusing on empowering serious traders through access to professional-grade tools and data-driven insights.

2.1 Our Business

RockGlobal helps serious traders turn data into repeatable performance, trade with your evidence, not emotion.

Turn your trading data into your unfair advantage.

RockGlobal develops and operates trading research tools and analytics platforms such as the **RockGlobal Edge Journal**, which enable traders to track, analyse, and improve performance using their own trading data.

All products are built within the boundaries of **general financial advice**, meaning they provide analysis and education, not personal recommendations or execution of trades.

3. Authorisations and Services Provided

Under our AFSL, **RockGlobal Capital Markets Pty Ltd** is authorised to:

- Provide **general financial product advice** for the following classes of financial products:
 - Securities
 - Derivatives
 - Foreign Exchange Contracts
- Deal in financial products by applying for, acquiring, varying, or disposing of a financial product on behalf of another person for the above classes, to both retail and wholesale clients.

At present, RockGlobal provides only **general financial product advice** and does not:

- Execute or arrange client transactions
- Manage client funds or portfolios
- Hold client money or deposits

All information we provide is of a general nature only.

4. Our Services

RockGlobal provides innovative trading technology and research tools that help traders make objective, evidence-based decisions.

Core Products

- **RockGlobal Edge Journal** – A professional desktop application that helps traders record, analyse, and reflect on their trading activity. It includes screenshot journaling, performance metrics, bias tracking, expectancy analysis, and goal projections.
- **Analytical & Research Tools** – Utilities that provide insights into trade behaviour, session performance, and market structure, supporting disciplined trading.
- **Education and Insights** – Free and paid educational content designed to improve trading discipline, self-awareness, and data interpretation.

These services are provided for **educational and informational purposes only** and are not intended to replace independent financial advice.

5. Nature of Advice

RockGlobal provides only **general financial product advice**.

This means our tools, reports, and commentary have been prepared **without taking into account your personal objectives, financial situation, or needs**.

Before acting on any general advice or information we provide, you should:

- Consider whether it is appropriate to your circumstances
- Seek independent financial advice if necessary
- Always exercise your own judgment when making investment or trading decisions

RockGlobal does not provide personal advice, trade recommendations, or performance forecasts.

6. Fees and Charges

RockGlobal charges subscription and licence fees for access to its online tools, analytics platforms, and related services.

All prices are stated in **Australian dollars (AUD)** and include **GST**.

6.1 Retail Subscriptions

Plan	Monthly Fee	Key Features
-------------	--------------------	---------------------

Base	\$29	Core journaling, filters, MT5 import, basic analytics
Pro	\$59	Advanced analytics, reports, and priority support
Elite	\$120	Concierge onboarding, private community access, bulk exports

A **30-day free trial** is available for new users of the Base plan.

Subscriptions renew automatically at the end of each billing period unless cancelled via the client portal or by emailing **support@rockglobaltrading.com**.

Refunds are provided in accordance with Australian Consumer Law and generally only in cases of duplicate billing, system errors, or failure to deliver service access.

6.2 Broker and Institutional Packs

Pack Size	Monthly Fee	Notes
-----------	-------------	-------

50 Seats	\$500	~\$10 per seat
----------	-------	----------------

100 Seats	\$800	~\$8 per seat
-----------	-------	---------------

1,000 Seats	\$7,000	~\$7 per seat; volume terms negotiable
-------------	---------	--

Billing is processed securely through **Stripe**. Some tiers offer a **-30% discount** when users supply their own API key (“BYO key”).

RockGlobal does not receive commissions, rebates, or other benefits from external providers. All revenue is derived from client subscriptions and institutional licensing.

7. Important Risk Information

Trading in securities, derivatives, and foreign exchange carries inherent risks, including potential loss of capital.

The analytical tools and information provided by RockGlobal are designed to support decision-making but should not be relied upon as a guarantee of success or profit.

Past performance, back-tested data, and statistical projections do not represent or predict future outcomes.

Before acting on any information or using our tools, clients should carefully consider:

- Their personal objectives, financial circumstances, and risk tolerance
- Whether trading or investing in these products is appropriate for them

RockGlobal does not assume liability for losses resulting from reliance on any information or tool outputs provided.

8. How You Can Give Us Instructions

Clients can communicate or provide instructions relating to their subscriptions or service usage through:

- **Post to Address:** Level 35, Tower One, 100 Barangaroo Avenue, Barangaroo NSW 2000
- **Email:** support@rockglobaltrading.com
- **Phone:** (07) 2146 7660

We will act upon your instructions once received, provided they are clear and within the scope of our services.

For security reasons, RockGlobal does **not** accept instructions for:

- Trade placement or execution

- Account management or fund transfers

You can manage your subscription, billing, and preferences via your secure client portal at any time.

9. Remuneration and Conflicts of Interest

Our staff are remunerated by salary and may receive discretionary performance bonuses. These bonuses are **not linked to individual client outcomes** and are based on overall business performance and compliance standards.

RockGlobal has no third-party commission or referral arrangements.

If future referral, affiliate, or partnership arrangements are introduced, full details will be disclosed to affected clients.

10. Professional Indemnity Insurance

RockGlobal maintains **Professional Indemnity (PI) Insurance** that complies with section 912B of the *Corporations Act 2001 (Cth)*.

This insurance covers claims arising from errors, omissions, or negligence in the provision of our financial services, and extends to former representatives in relation to services provided while they were authorised by RockGlobal.

11. Complaints and Dispute Resolution

RockGlobal is committed to handling all complaints **efficiently, honestly, and fairly**.

Step 1 - Contact Us First

If you are dissatisfied with any aspect of our service, please contact us:

- **Email:** support@rockglobaltrading.com
- **Phone:** (07) 2146 7660

We will acknowledge receipt of your complaint within **one business day** and aim to resolve it within **30 calendar days**.

If your matter cannot be resolved within this timeframe, we will inform you of the reason for the delay and your right to escalate.

Step 2 - External Dispute Resolution (AFCA)

If you are not satisfied with the outcome of our internal review, you may refer the matter to the **Australian Financial Complaints Authority (AFCA)**, an independent external dispute resolution scheme approved by ASIC.

AFCA Contact Details

- **Membership Number:** 11985
- **Phone:** 1800 931 678
- **Email:** info@afca.org.au
- **Mail:** GPO Box 3, Melbourne VIC 3001
- **Website:** www.afca.org.au

AFCA provides its services free of charge to retail clients.

For more information, refer to our **Complaints and Dispute Resolution Policy** available on our website.

12. Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Statement

RockGlobal maintains a comprehensive **Anti-Money Laundering and Counter-Terrorism Financing (AML/CTF) Program** consistent with the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*.

Our AML/CTF framework includes:

- **Customer Identification and Verification (KYC):** Procedures to verify client identity before services are provided.
- **Ongoing Monitoring:** Systems to identify unusual or suspicious activity.
- **Reporting:** Timely submission of Suspicious Matter Reports (SMRs) and other statutory filings to AUSTRAC.
- **Record Keeping:** Retention of identification and transaction records for at least seven years.
- **Staff Training:** Mandatory awareness programs for employees.
- **Independent Review:** Regular external reviews to ensure compliance and continuous improvement.

The AML/CTF Compliance Officer is responsible for maintaining the program and liaising with AUSTRAC.

13. Records and Privacy

RockGlobal is committed to maintaining the confidentiality, integrity, and security of client information.

We comply with the **Australian Privacy Principles (APPs)** under the *Privacy Act 1988 (Cth)*.

Information Collection and Use

We collect limited personal information such as name, email, and payment details for the purposes of account creation, compliance verification, and communication.

Client data is stored securely, and no information is sold, shared, or disclosed to third parties except as required by law.

13.1 Local-First and Data Security Approach

Our software (such as RockGlobal Edge Journal) operates on a **local-first** basis, data is stored on the client's own device by default, not in the cloud.

Optional encryption is available using Argon2id key derivation and AES-256-GCM encryption. Any use of AI or cloud-based analysis is opt-in and anonymised.

13.2 Record Keeping

We maintain accurate records of client interactions, subscriptions, and complaints for at least **seven years**, as required by law.

For more information, please refer to our **Privacy Policy** at www.rockglobaltrading.com/privacy-policy.

14. Contact Details

RockGlobal Capital Markets Pty Ltd

ABN: 12 108 915 233

AFSL: 282288

AFCA Membership: 11985

Address: Level 35, Tower One, 100 Barangaroo Avenue, Barangaroo NSW 2000

Phone: (07) 2146 7660

Email: support@rockglobaltrading.com

Website: www.rockglobaltrading.com

All correspondence, compliance enquiries, and requests for further information should be directed to the **Compliance Manager**, who is responsible for ensuring all matters are handled promptly and in accordance with our internal procedures.