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Australian Securities & Investments Commission

Extracted from ASIC's database at AEST 18:03:29 on 01/02/2020

Current Details	
Name:	GLENEAGLE SECURITIES (AUST) PTY LIMITED
Licence Number:	337985
Status:	Current
ABN:	58 136 930 526
Commenced:	31/08/2009
Addresses	
Principal Business Address:	Level 27, 25 Bligh Street, SYDNEY NSW 2000
Service Address:	GLENEAGLE SECURITIES (AUST) PTY LIMITED, Level 27, 25 Bligh Street SYDNEY NSW 2000
Trading Name(s)	
Name:	RUBIX FX
Commenced:	11/03/2019
Name:	FXTRADING.COM
Commenced:	11/03/2019
Roles	
Role:	Auditor of FS Licensee
Name:	LNP AUDIT AND ASSURANCE PTY LTD
Commenced:	31/05/2012
External Dispute Resolution	
Scheme:	Australian Financial Complaints Authority
Membership Number:	14573
Commenced:	01/05/2018
Licence Authorisation Conditions	
From:	17/08/2018
Details:	<ul style="list-style-type: none"> (a) provide financial product advice to retail and wholesale clients for the following classes of financial products: <ul style="list-style-type: none"> (i) deposit and payment products limited to: <ul style="list-style-type: none"> (A) basic deposit products; (B) deposit products other than basic deposit products; (ii) derivatives; (iii) foreign exchange contracts; (iv) debentures, stocks or bonds issued or proposed to be issued by a government; (v) interests in managed investment schemes including: <ul style="list-style-type: none"> (A) investor directed portfolio services; (vi) interests in managed investment schemes limited to: <ul style="list-style-type: none"> (A) MDA services; (vii) securities; (viii) standard margin lending facility; and (b) provide financial product advice to wholesale



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

clients only for the following classes of financial products:

- (i) non-standard margin lending facility; and
- (c) deal in a financial product to retail and wholesale clients by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) own managed investment scheme only;
 - (D) interests in managed investment schemes limited to:
 - (1) MDA services; and
- (d) deal in a financial product to wholesale clients only by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) non-standard margin lending facility; and
- (e) deal in a financial product to retail and wholesale clients 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) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (F) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (G) securities;
 - (H) standard margin lending facility; and



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

- (f) 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) non-standard margin lending facility; and
- (g) deal in a financial product to retail and wholesale clients by:
 - (i) underwriting:
 - (A) interests in managed investment schemes;
 - (B) an issue of securities; and
- (h) make a market to retail and wholesale clients for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives; and
- (i) provide the following custodial or depository services to retail and wholesale clients:
 - (i) operate custodial or depository services other than investor directed portfolio services.

From: 24/02/2016

- Details:
- (a) provide financial product advice to retail and wholesale clients 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
 - (vi) interests in managed investment schemes limited to:
 - (A) MDA services;
 - (vii) securities;
 - (viii) standard margin lending facility; and
 - (b) provide financial product advice to wholesale clients only for the following classes of financial products:
 - (i) non-standard margin lending facility; and



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

GLENEAGLE SECURITIES (AUST) PTY LIMITED
AFS Licence Number 337985

Licence Authorisation Conditions

- (c) deal in a financial product to retail and wholesale clients by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) own managed investment scheme only;
 - (D) interests in managed investment schemes limited to:
 - (1) MDA services; and
- (d) deal in a financial product to wholesale clients only by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) non-standard margin lending facility; and
- (e) deal in a financial product to retail and wholesale clients 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) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (F) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (G) securities;
 - (H) standard margin lending facility; and
- (f) deal in a financial product to wholesale clients only by:
 - (i) applying for, acquiring, varying or disposing



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

of a financial product on behalf of another person in respect of the following classes of products:

- (A) non-standard margin lending facility; and
- (g) deal in a financial product to retail and wholesale clients by:
 - (i) underwriting:
 - (A) interests in managed investment schemes;
 - (B) an issue of securities; and
- (h) make a market to retail and wholesale clients for the following financial products:
 - (i) foreign exchange contracts;
 - (ii) derivatives; and
- (i) provide the following custodial or depository services to retail and wholesale clients:
 - (i) operate custodial or depository services other than investor directed portfolio services.

From: 18/10/2012

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice to retail and wholesale clients 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
 - (vi) interests in managed investment schemes limited to:
 - (B) MDA services;
 - (vii) securities;
 - (viii) standard margin lending facility;
 - (b) provide financial product advice to wholesale clients only for the following classes of financial products:
 - (i) non standard margin lending facility; and
 - (c) deal in a financial product to retail and



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

wholesale clients by:

- (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) own managed investment scheme only;
 - (D) interests in managed investment schemes limited to:
 - (1) MDA services; and
- (d) deal in a financial product to wholesale clients only by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) non standard margin lending facility; and
- (e) deal in a financial product to retail and wholesale clients 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) deposit and payment products limited to:
 - (B) basic deposit products;
 - (C) deposit products other than basic deposit products;
 - (D) derivatives;
 - (E) foreign exchange contracts;
 - (F) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (G) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (H) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (I) securities;
 - (J) standard margin lending facility; and
- (f) 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



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

person in respect of the following classes of products:

- (A) non standard margin lending facility; and
- (g) deal in a financial product to retail and wholesale clients by:
 - (i) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities;
- (h) make a market to retail and wholesale clients for the following financial products:
 - (i) foreign exchange contracts; and
 - (ii) derivatives; and
- (i) provide the following custodial or depository services to retail and wholesale clients:
 - (i) operate custodial or depository services other than investor directed portfolio services.

From: 21/09/2011

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice to retail and wholesale clients 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
 - (vi) interests in managed investment schemes limited to:
 - (B) MDA services;
 - (vii) securities;
 - (viii) standard margin lending facility;
 - (b) provide financial product advice to wholesale clients only for the following classes of financial products:
 - (i) non standard margin lending facility; and
 - (c) deal in a financial product to retail and wholesale clients by:



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

GLENEAGLE SECURITIES (AUST) PTY LIMITED
AFS Licence Number 337985

Licence Authorisation Conditions

- (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) own managed investment scheme only;
 - (D) interests in managed investment schemes limited to:
 - (1) MDA services; and
- (d) deal in a financial product to wholesale clients only by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) non standard margin lending facility; and
- (e) deal in a financial product to retail and wholesale clients 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) deposit and payment products limited to:
 - (B) basic deposit products;
 - (C) deposit products other than basic deposit products;
 - (D) derivatives;
 - (E) foreign exchange contracts;
 - (F) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (G) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (H) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (I) securities;
 - (J) standard margin lending facility; and
- (f) 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



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

products:

- (A) non standard margin lending facility; and
- (g) deal in a financial product to retail and wholesale clients by:
 - (i) underwriting:
 - (A) interests in managed investment schemes; and
 - (B) an issue of securities;
- (h) make a market to retail and wholesale clients for the following financial products:
 - (i) foreign exchange contracts; and
 - (ii) derivatives; and
- (i) provide the following custodial or depository services to retail and wholesale clients:
 - (i) operate custodial or depository services other than investor directed portfolio services.

From: 25/10/2010

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
 - (a) provide financial product advice to wholesale clients only for the following classes of financial products:
 - (i) non standard margin lending facility; and
 - (b) deal in a financial product to wholesale clients only by:
 - (i) issuing, apply for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) non standard margin lending facility; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of financial products:
 - (A) non standard margin lending facility; and
 - (c) provide general financial product advice to retail and wholesale clients 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

- (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
- (vi) interests in managed investment schemes limited to:
 - (A) MDA services;
- (vii) securities;
- (viii) standard margin lending facility;
- (e) deal in a financial product to wholesale and retail clients by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives;
 - (B) foreign exchange contracts;
 - (C) interests in managed investment schemes limited to:
 - (1) MDA services; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes including:
 - (F) investor directed portfolio services;
 - (G) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (H) securities;
 - (I) standard margin lending facility; and
 - (f) make a market for the following financial products in respect of retail and wholesale clients:
 - (i) foreign exchange contracts; and
 - (ii) derivatives;

From: 20/08/2010
 Details: 1. This licence authorises the licensee to carry on a



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

- 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services;
 - (vi) securities; and
 - (vii) standard margin lending facility;
 - (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives; and
 - (B) foreign exchange contracts; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes including:
 - (1) investor directed portfolio services;
 - (F) securities; and
 - (G) standard margin lending facility; and
 - (c) make a market for the following financial products:
 - (i) foreign exchange contracts; and
 - (ii) derivatives;



ASIC

Australian Securities & Investments Commission

Licence Authorisation Conditions

to retail and wholesale clients.

From: 27/05/2010

- Details:
1. This licence authorises the licensee 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;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) interests in managed investment schemes including:
 - (A) investor directed portfolio services; and
 - (vi) securities;
 - (b) deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - (A) derivatives; and
 - (B) foreign exchange contracts; and
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) foreign exchange contracts;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) interests in managed investment schemes including:
 - (1) investor directed portfolio services; and
 - (F) securities; and
 - (c) make a market for the following financial products:
 - (i) foreign exchange contracts; and
 - (ii) derivatives;



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

GLENEAGLE SECURITIES (AUST) PTY LIMITED
AFS Licence Number 337985

Licence Authorisation Conditions

to retail and wholesale clients.

- From: 31/08/2009
- Details: 1. This licence authorises the licensee 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) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (iv) interests in managed investment schemes including:
 - (A) investor directed portfolio services; and
 - (v) securities; and
 - (b) deal in a financial product 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) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (D) interests in managed investment schemes including:
 - (1) investor directed portfolio services; and
 - (E) securities;
- to retail and wholesale clients.

Further information relating to this Licensee may be purchased from ASIC.