



Futures and Futures Options Product Disclosure Statement

Issue date 04 May, 2026

tastytrade Australia Pty Ltd

ABN 61 623 542 969 | AFSL 508867

Suite 4.04, 130 Pitt St, Sydney NSW 2000

T: +61 02 8317 1402 | E: support@tastytrade.au | W: <https://tastytrade.com/en-au/>

About This PDS

This PDS has been issued by tastytrade Australia Pty Ltd (ABN 61 623 542 969, AFSL 508867) and covers Futures and Futures Options available through the tastytrade platform. It is designed to help you understand what these products are, how they work, what they cost, and the risks involved — so you can decide whether they are right for you. It is general information only and does not take into account your personal objectives, financial situation or needs. You should read it in full before making any decision to trade. This PDS does not constitute and is not intended to replace independent professional financial advice. tastytrade Australia strongly recommends that you obtain independent financial, tax and legal advice prior to making any decision to trade or invest in the products referenced in this PDS.

This PDS and the Futures and Futures Options referred to in this PDS are available to persons in Australia who are clients of tastytrade Australia. The distribution of this PDS to persons outside of Australia may be restricted by that jurisdiction. This PDS does not constitute an offer or invitation. In any place where, or to any person whom, an offer or invitation would not be lawful according to the laws of the relevant jurisdiction.

Futures and Futures Options are not like stocks. They are leveraged, exchange-traded derivatives that are marked to market every single day. That means gains and losses settle in cash daily, margin requirements can change without notice, and your losses are not capped at what you initially put in — in some circumstances they can exceed the full value of your account. These products are only appropriate for clients who hold The Works trading permissions, meet tastytrade Australia's minimum income and net worth requirements, have relevant trading experience, and genuinely understand the mechanics of margin, daily settlement, and expiry management. If you are not sure whether that describes you, please seek independent financial advice before proceeding.

tastytrade Australia is a self-directed platform. Our staff are not authorised to provide investment, trading or tax advice, and nothing in this PDS or on our platform constitutes a personal recommendation. All trading decisions are yours. Before you begin trading Futures or Futures Options, we strongly recommend reading the Futures & Exchange-Traded Options Risk Disclosure Statement, the CFTC Rule 1.55 Risk Disclosure Statement, and the Futures Options Disclosure Statement — all available at tastyworks.com.au/disclosures. You should also review the contract specifications for any product you intend to trade, available on the tastytrade platform and at tastytrade.com.au.

The information in this PDS is current as at the issue date. We may update it from time to time — where changes are not materially adverse, we may do so on our website rather than by issuing a new document. The current version of this PDS is always available at tastytrade.com.au. If you have questions about this PDS, contact us at support@tastytrade.au or +61 02 8317 1402.

Table of Contents

About This PDS	2
1. About tastytrade Australia	3
2. What Products Does This PDS Cover?	5
3. Basic Features of Futures and Futures Options	5
4. Trading Levels and Account Types	8
5. Benefits of Trading Futures and Futures Options	8
6. Significant Risks.....	9
7. Costs and Fees.....	12
8. Margin Requirements and Margin Calls	13
9. Client Money	14
10. Compensation Arrangements.....	14
11. No Cooling Off Rights	14
12. Taxation	14
13. How to Apply.....	15
14. Complaints and Dispute Resolution	15
15. Privacy	16



1. About tastytrade Australia

tastytrade Australia Pty Ltd ABN 61 623 542 969, AFSL 508867 ('tastytrade Australia', 'TA', 'us' or 'we', including our appointed agents or delegates where appropriate) is an innovative provider of online trading services for self-directed investors. tastytrade Australia is focused on providing flexible access to Futures and Futures Options and other financial products through our trading platform.

Futures and Futures Options trading through our platform is subject to an agreement between you and tastytrade Australia ('the Agreement'). The Agreement sets out your rights and obligations relating to the various services offered, and it is important that you read and understand it prior to signing the application form and entering into the Agreement.

We have appointed tastytrade, Inc. ('tastytrade US', 'TT US' or 'Service Provider') to provide various administration and account management services in support of the Futures and Futures Options trading services provided by us, including but not limited to the maintenance and operation of the trading platform. tastytrade US is also responsible for the execution and clearing of trades placed through our platform. tastytrade US is a US registered introducing broker servicing self-directed investors. tastytrade US is a Delaware C-Corporation located in Chicago, Illinois and is regulated by FINRA (Financial Industry Regulatory Authority), the SEC (Securities and Exchange Commission), the NFA (National Futures Association), and the CFTC (Commodity Futures Trading Commission) and is a member of FINRA, NFA, and SIPC (Securities Investor Protection Corporation).

Through tastytrade US, we have appointed Apex Clearing Corporation ('Apex') as the custodian of securities and other assets held in your account. Apex is a US incorporated company regulated by FINRA, the SEC, the NFA, and the CFTC and is a member of FINRA, NFA, and SIPC. All customer futures accounts' positions and cash balances are segregated by Apex Clearing Corporation.

tastytrade Australia operates as a self-directed online platform. We do not provide personal financial advice, and our staff are not authorised to direct client trading decisions. All investment decisions are made by clients independently, using a computer or mobile device to place orders that are transmitted to the relevant US exchange for execution.

Unless otherwise stated, all figures displayed on the tastytrade platform and in any reports, statements, confirmations, or other communications you receive are denominated in US dollars (USD). This includes account balances, position values, profit and loss, fees, margin requirements, and interest charges. You should be aware that the equivalent value in Australian dollars will vary with movements in the AUD/USD exchange rate.

Contact information:

T: +61 02 8317 1402

A: tastytrade Australia Pty Ltd

Suite 4.04, 130 Pitt St, Sydney NSW 2000

E: support@tastytrade.au

2. What Products Does This PDS Cover?

This PDS covers Futures and Futures Options available on US exchanges accessible through our platform. All products covered by this PDS are US exchange-listed. tastytrade Australia does not facilitate trading of Futures or Futures Options on ASX or other Australian exchanges.

Futures

A Future is a standardised, exchange-traded derivative contract under which two parties agree to either: (1) deliver or take delivery of a specific quantity of an underlying asset at an agreed price on a set future date; or (2) settle in cash based on the movement in price of an underlying asset by a specified date. Futures contracts are marked to market on a daily basis, meaning profits and losses are settled between long and short positions at the end of each trading day.

Futures contracts are available across a range of asset classes on US exchanges accessible through the tastytrade platform, including equity indices, precious metals, energy products, interest rates, currencies, and agricultural commodities. The current list of available contracts can be found at tastytrade.com.au.

Futures Options

A Futures Option is an options contract written over a futures contract rather than a stock or ETF. When a Futures Option is exercised, a futures contract is established. Futures Options therefore derive their value from the price of the underlying futures contract, which in turn derives its value from the underlying asset. Futures Options are leveraged, derivative products used to speculate on or hedge against the future potential price movement of the underlying futures contract.

Like equity options, a buyer of a Futures Option pays a premium and acquires the right — but not the obligation — to establish a long or short position in the underlying futures contract at a predetermined price. A seller of a Futures Option receives the premium and takes on the corresponding obligation if the buyer exercises.

Please note that tastytrade Australia does not facilitate physical delivery of the underlying asset for any Futures contract. Clients are solely responsible for monitoring positions in deliverable contracts and closing or rolling those positions before the applicable expiry deadline.

3. Basic Features of Futures and Futures Options

Futures are Standardised

Futures contracts are standardised — their terms and specifications are set by the relevant exchange. This standardisation ensures liquidity. Key contract specifications include the underlying asset, contract unit (the quantity of the underlying covered by one contract), tick size and tick value (the minimum price increment and its dollar value), settlement type (cash or physical delivery), and expiry date. You should review the relevant contract specifications before trading. Current contract specifications are available at tastytrade.com.au.

Mark-to-Market Settlement

A unique characteristic of Futures is the daily mark-to-market process. At the close of each trading session, the exchange determines a settlement price for each Futures contract. Profits and losses relative to that settlement price are settled in cash between long and short positions at the end of each day. This means that gains sweep from your futures account to your securities account and losses sweep in the opposite direction on a daily basis. The settlement price then becomes the new reference price for the next trading session.

Because of daily mark-to-market settlement, you must maintain sufficient funds in your account to cover daily losses. Futures and Futures Options are marked-to-market at the end of each trading day and the IRS treats these as Section 1256 products for US tax purposes.

Cash Settlement and Physical Delivery

Futures contracts are either cash settled or physically delivered. For cash-settled contracts, at expiry the difference between the contract price and the final settlement price is paid in cash — no underlying asset changes hands. For physically delivered contracts, the seller is obliged to deliver the underlying asset and the buyer is obliged to take delivery at expiry.

tastytrade Australia does not facilitate physical delivery. Clients holding positions in physically delivered Futures contracts are solely responsible for closing or rolling those positions before the applicable last trading day or expiry deadline. Failure to do so may result in your positions being closed by tastytrade Australia without notice.

Opening and Closing Positions

You open a position in a Futures contract by placing a buy order (going long) or a sell order (going short). You close a position by entering into an equal and opposite transaction in the same contract. For example, if you hold a long position in one contract, you close it by selling one contract of the same series. The net result is that the open position is offset and you no longer hold an exposure to that contract.

Rolling Positions

Futures contracts have a fixed expiry date. Clients who wish to maintain their economic exposure beyond the expiry of the front-month contract must 'roll' their position — that is, close the expiring contract and open a new position in a later-dated contract. Rolling incurs additional transaction costs. You are solely responsible for monitoring your positions and managing rollovers in a timely manner.

Clearing Arrangements

Trades executed through our platform are cleared through Apex Clearing Corporation. Apex, as the clearing firm, acts as the central counterparty to trades registered with it, reducing counterparty risk by guaranteeing settlement. All customer futures accounts' positions and cash balances are segregated by Apex Clearing Corporation.

Use of Client Securities as Collateral for Margin

Where you hold a margin account and have open positions, the securities held in your account may be used as collateral to support your margin obligations. Losses from trading Futures and Futures Options can exceed the amount deposited into the account. Our right to recover amounts owing is limited to the marketable securities held in the client's account(s).

You should read the Margin Disclosure document available on the tastytrade Australia disclosures page at tastyworks.com.au/disclosures before trading on margin.

Concepts to Understand Before Trading

Before trading Futures or Futures Options, clients should ensure they understand the following concepts. These are drawn from the eligibility criteria set out in the tastytrade Australia Target Market Determination for Futures and Futures Options, which should be read in conjunction with this PDS.

- How margin and leverage function in exchange-traded Futures, including the overnight/SPAN margin requirement and the concept of notional value.
- The daily mark-to-market process, including how daily cash settlements can result in losses that must be funded on an ongoing basis.
- The risks of trading Futures and Futures Options, including the potential for losses to equal or exceed the full balance of the client's account.

- How Futures and Futures Options are priced, including the relationship between the futures price and the underlying asset, expiry dates, time decay on Futures Options, and settlement mechanics.
- The practical obligations of trading on exchange, including position monitoring, margin management, and the requirement to close or roll positions prior to expiry.
- The difference between cash-settled and physically delivered Futures contracts, and the client's responsibility to close or roll deliverable contracts before expiry.

Clients who cannot demonstrate sufficient knowledge of these concepts will not be approved for Futures and Futures Options trading. Please refer to the tastytrade Australia Target Market Determination for Futures and Futures Options for full eligibility criteria.

Educational Material

tastytrade Australia recommends that you read the following documents before trading Futures or Futures Options. These are available on the tastytrade Australia disclosures page at tastyworks.com.au/disclosures:

- Futures & Exchange-Traded Options Risk Disclosure Statement
- CFTC Rule 1.55 Risk Disclosure Statement
- Futures Options Disclosure Statement
- Futures on Virtual Currencies NFA Investor Advisory (if trading cryptocurrency futures)

You should also refer to the educational resources available at tastytrade.com for information about Futures trading strategies and risk management.

4. Trading Levels and Account Types

Futures and Futures Options are only available to clients who hold a margin account with 'The Works' trading permissions activated. The Works is tastytrade Australia's highest trading level and requires both a minimum annual income and minimum liquid net worth as set out in the table below. A client may only trade strategies permitted by their approved level.

Strategy / Feature	Cash	Limited	Basic (Margin)	The Works
Buy Stocks and ETFs	✓	✓	✓	✓
Buy Options (Calls and Puts)	✓	✓	✓	✓
Sell Covered Calls	✓	✓	✓	✓
Sell Cash-Secured Puts	✓	✓	✗	✗
Defined-Risk Spreads	✗	✗	✓	✓
Sell Naked Puts	✗	✗	✓	✓
Sell Naked Calls	✗	✗	✗	✓
Short Sell Stock	✗	✗	✗	✓
Futures and Futures Options	✗	✗	✗	✓
Account Type	Cash	Margin	Margin	Margin
Min. Annual Income	Any	Any	Any	USD \$50,000+
Min. Liquid Net Worth	Any	Any	Any	USD \$50,000+

Notes:

- Futures and Futures Options require a margin account with The Works permissions. No other trading level provides access to these products.
- The Works tier requires both income and liquid net worth thresholds to be met. Meeting only one is insufficient.
- All applicants must pass a knowledge and suitability assessment before Futures and Futures Options trading permissions are activated.

5. Benefits of Trading Futures and Futures Options

The following are some potential benefits of trading Futures and Futures Options. The consequences of Futures trading are specific to each individual. We recommend you obtain independent financial, taxation and legal advice on whether Futures and Futures Options trading is appropriate for your circumstances.

Leveraged Market Exposure

Futures provide leveraged exposure to an underlying asset using a fraction of the asset's total value as margin. This means you can take a larger economic position than would otherwise be possible with unleveraged investment. The capital efficiency of Futures can be significant — for example, Micro contracts allow traders to access the same markets as standard contracts at a fraction of the notional value.

Long and Short Flexibility

Futures allow you to take both long and short positions with equal ease, providing the flexibility to profit from or hedge against both rising and falling markets. This is distinct from direct ownership of the underlying asset, which only benefits from price increases.

Near 24-Hour Market Access

Futures markets are generally available for trading approximately 23 hours per day, five days per week. This provides access to market-moving events and price discovery outside standard equity market hours.

Hedging

Futures and Futures Options may be used to hedge against fluctuations in an underlying portfolio or other financial exposures. For example, equity index futures can be used to protect against downside risk in a share portfolio, or commodity futures to lock in future prices for producers and consumers of physical commodities. Futures Options can provide defined-risk hedging alternatives.

Defined Risk for Futures Options Buyers

When purchasing a Futures Option, the total monetary risk on the position is limited to the premium paid — the Futures Option cannot lose more than its purchase price. This makes long Futures Options positions a defined-risk way to gain leveraged exposure to the underlying futures contract, compared to holding the futures contract outright where losses are not capped at the premium.

Range of Available Markets

tastytrade provides access to Futures contracts across a broad range of asset classes including equity indices (such as S&P 500, NASDAQ 100, Russell 2000, Dow Jones), precious metals (such as gold and silver), energy products (such as crude oil and natural gas), interest rates, currencies, and agricultural commodities. A current list of available contracts is at tastytrade.com.au.

6. Significant Risks

Warning

Futures and Futures Options are complex, leveraged instruments carrying a high degree of risk. You can lose more than your initial investment — in some circumstances your losses may equal or exceed the total value of your account. Futures and Futures Options trading is speculative and is not suitable for all investors. You should not trade these products unless you understand the nature of the products, the mechanics of margin, and the full extent of your exposure to loss. The risks below are not exhaustive. You should seek independent advice before trading.

Losses Exceeding Account Balance

Due to the leverage involved in Futures trading, a relatively modest initial margin deposit can give rise to substantial losses — including losses that exceed the client's initial deposit and, in some cases, the full value of their account. Unlike buying stocks or exchange traded options, losses on short Futures positions or written Futures Options are not capped.

Daily Mark-to-Market Loss

Futures positions are marked to market at the end of each trading day. Losses are debited from your account daily regardless of whether you have closed the position. During periods of adverse market movement, you may face significant daily cash settlements that erode your account

balance rapidly. If your account balance falls below the required margin level at any point, positions may be liquidated without notice.

Margin and Variation Margin Risk

You are required to maintain sufficient funds to meet both the initial (overnight/SPAN) margin requirement and any variation margin arising from mark-to-market losses. Margin requirements are set by the exchange and may be increased at any time, including during periods of heightened volatility. tastytrade Australia may also adjust applicable margin rates at any time without prior notice. If you receive a margin call and fail to respond promptly, your positions may be liquidated at prevailing market prices and any resulting loss is your responsibility.

Expiry and Rollover Risk

Futures contracts have fixed expiry dates. If you do not close or roll your position before expiry, for cash-settled contracts your position will be settled at the exchange's final settlement price, which may be significantly different from the price you expected. For physically delivered contracts, tastytrade Australia does not facilitate delivery — clients are solely responsible for closing or rolling deliverable positions before the last trading day. Failure to manage expiry obligations may result in forced liquidation at unfavourable prices.

Leverage Risk

Futures and Futures Options are leveraged instruments. A small movement in the price of the underlying can result in a disproportionately large movement in the value of your position relative to the margin deposited. Leverage has served to multiply losses in percentage terms. When buying a Futures Option, losing 100% of the investment is more probable than on a futures contract, as the Futures Option only needs to expire out-of-the-money to lose full value.

Time Decay — Futures Options

Futures Options lose value as expiry approaches, all else being equal. This is known as time decay. For buyers of Futures Options, time decay works against you. For sellers, time decay generally works in your favour. Futures Options have a fixed expiry date, after which they are worthless. The rate of time decay accelerates as expiry approaches.

Volatility Risk

The value of Futures and Futures Options positions is materially affected by volatility. Volatility can change rapidly in response to market events, economic data releases, and geopolitical developments, and may significantly affect the value of your positions even if the underlying price has not moved.

Liquidity Risk

Under certain market conditions, it may become difficult or impossible to close an open position at a fair price. Wide bid-ask spreads, low open interest, and extreme market volatility can all impair liquidity. You may not be able to close a position at a price reflecting its theoretical value, or at all. This risk is more pronounced for less actively traded contracts.

Currency Risk

Futures and Futures Options available through our platform are priced in US dollars. Fluctuations in the AUD/USD exchange rate will affect the value of your account and positions as expressed in Australian dollars. You may incur losses due to adverse currency movements in addition to any trading losses.

Platform and Technology Risk

Our platform relies on technology systems operated by tastytrade US. Technical failures, internet disruptions, or platform outages may affect your ability to place, modify, or close orders. Given the

time-sensitive nature of Futures margin obligations and expiry requirements, technology disruptions can be particularly consequential. You should be aware of alternative means of placing orders, including contacting our support team directly, in the event the platform is unavailable.

Foreign Jurisdiction Risk

Futures and Futures Options available through our platform are traded on US exchanges and are subject to the rules of those exchanges and applicable US law. ASIC and Australian exchanges do not regulate the activities of US exchanges, nor do they have power to compel enforcement of the rules of a US exchange or applicable US laws. Generally, transactions on US exchanges are governed by applicable US law.

Regulatory and Legislative Risk

Changes to applicable law, ASIC regulations, US regulatory requirements, CFTC rules, or NFA rules may affect the availability of products or strategies, margin requirements, or the terms on which you may trade. Tax legislation or marginal tax rates may change and have an adverse impact on your tax position. As your account is located in the US, you may be subject to both US and Australian tax laws.

7. Costs and Fees

The following fees are sourced directly from tastytrade Australia's published commissions and fees schedule at tastyworks.com.au/commission-and-fees. All fees are subject to change without prior notice. tastytrade reserves the right to modify any fees and pass through any third party fees necessary to effectively manage your account without prior notice.

Commission — Futures and Futures Options

Product	Commission
Options on Futures	\$2.50 per contract to open / \$0.00 to close. All futures options trades incur a clearing fee of \$0.30 per contract + exchange fees + NFA fee.
Options on Micro Futures	\$1.50 per contract to open / \$0.00 to close. All futures options trades incur a clearing fee of \$0.30 per contract + exchange fees + NFA fee.
Futures	\$1.25 per contract to open / \$1.25 per contract to close. All futures trades incur a clearing fee of \$0.30 per contract + exchange fees + NFA fee.
Micro Futures	\$0.85 per contract to open / \$0.85 per contract to close. All futures trades incur a clearing fee of \$0.30 per contract + exchange fees + NFA fee.
Smalls Futures	\$0.25 per contract to open / \$0.25 per contract to close. All smalls futures trades incur a clearing fee of \$0.05 per contract + exchange fees + NFA fee.

Trade-Related Fees

Fee Type	Amount
Clearing Fees — Futures	\$0.30 per contract (standard/micro); \$0.05 per contract (smalls)
NFA Fee	\$0.02 per contract

Exchange fees vary by contract. A list of available futures contracts and applicable exchange fees is available at support.tastytrade.com (see Available CME futures contracts at tastytrade).

The full fee schedule is available at tastyworks.com.au/commission-and-fees. Fees are denominated in US dollars unless otherwise stated.

8. Margin Requirements and Margin Calls

All Futures and Futures Options trading requires a margin account with The Works permissions. Margin accounts provide access to leverage, which can amplify both gains and losses. You can lose more funds than you deposit in the margin account.

Overnight (SPAN) Margin

To open and hold a Futures position overnight, you must satisfy the overnight margin requirement — also referred to as the SPAN (Standard Portfolio Analysis of Risk) requirement. This is the dollar amount you must have in available buying power to establish and hold a Futures position. The overnight requirement is determined by the relevant futures exchange for each contract and may increase or decrease during trading sessions, particularly during periods of heightened volatility.

Even if you do not plan to hold a Futures contract overnight, you must satisfy the full overnight requirement to open the position. The overnight requirement will vary by contract — Micro contracts require a fraction of the overnight requirement of their standard E-mini counterparts.

Daily Mark-to-Market and Variation Margin

At the end of each trading session, open Futures positions are marked to market at the exchange settlement price. If the settlement results in a loss on your position, that loss is debited from your account. If the resulting account balance falls below the required margin level, you will be required to deposit additional funds or close positions to restore your margin. Failure to meet a margin call may result in position liquidation without further notice.

Position Liquidation

If your account falls below the required margin level at any time — including intraday — tastytrade Australia reserves the right to liquidate one or more of your open positions without prior notice, at prevailing market prices. Liquidation may occur at unfavourable prices and any resulting loss is your responsibility. tastytrade Australia may also adjust margin requirements at any time without notice, which may trigger immediate liquidation of under-margined accounts.

Margin Warning

Margin increases your exposure to loss. You can lose more than you deposit. Futures positions can deteriorate rapidly, triggering margin calls at short notice. Daily mark-to-market settlement means losses can accumulate and must be funded on an ongoing basis. In extreme circumstances, losses may equal or exceed the total value of your account. You are responsible for monitoring your account and maintaining adequate margin at all times.

9. Client Money

All customer futures accounts' positions and cash balances are segregated by Apex Clearing Corporation in accordance with applicable US law and the rules of the CFTC. Your futures account is held in the US and is subject to US law and regulations governing the holding of client money.

You should be aware that the protections available to clients under US law may differ from those available under Australian law. In particular, the protections available to retail clients under the *Corporations Act 2001* (Cth) with respect to client money may not apply to assets held in your futures account with Apex.

Important — Futures Accounts Are Not Protected by SIPC

Futures accounts are not protected by the Securities Investor Protection Corporation (SIPC). This is a fundamental difference from securities accounts. If you also hold a securities account through tastytrade, that account is subject to SIPC protection up to applicable limits. Your futures account is not. Please refer to the tastytrade Australia Exchange Traded Options PDS for information about SIPC coverage applicable to securities accounts.

10. Compensation Arrangements

Futures accounts are not protected by the Securities Investor Protection Corporation (SIPC). SIPC protection only applies to securities accounts. Your futures account and any assets held in it are not covered by SIPC in the event of broker insolvency.

All customer futures accounts' positions and cash balances are segregated by Apex Clearing Corporation in accordance with CFTC regulations. Segregation of client funds is designed to protect client assets in the event of broker failure, but it does not provide the same statutory protection as SIPC.

tastytrade Australia is an Australian financial services licensee. In the event of a dispute, Australian clients may have access to compensation or dispute resolution through AFCA (see Section 14).

11. No Cooling Off Rights

There are no cooling off arrangements for Futures or Futures Options described in this PDS. Once you have entered into a Futures or Futures Options contract, you do not have a right to withdraw from that contract.

12. Taxation

General

The taxation implications of trading Futures and Futures Options will depend on your individual circumstances. This PDS does not constitute taxation advice. You should obtain independent professional tax advice specific to your own circumstances before trading.

As your account is located in the US, you may be subject to both US and Australian tax laws. Tax legislation or marginal tax rates may change and may have an adverse impact on your tax position. The information below is provided as a general guide only.

Goods and Services Tax (GST)

Financial services, including the acquisition of Futures and Futures Options, are generally input-taxed under Australian GST law and are not subject to GST. However, certain fees or charges relating to your account may be subject to GST. You should obtain independent advice on the GST treatment of your specific circumstances.

US Foreign Account Tax Compliance Act (FATCA)

As an Australian resident investing through a US broker-dealer, you may be subject to reporting obligations under FATCA. You will be required to provide information about your tax residency status as part of the account opening process. You should seek independent tax advice if you are uncertain about your obligations under FATCA or any applicable double tax agreement between Australia and the United States.

13. How to Apply

Futures and Futures Options trading is available to individuals aged 18 years or older, as well as eligible trusts and companies, who are assessed as eligible under our Client Qualification Policy and have successfully completed the knowledge and suitability assessment. Superannuation funds are currently excluded.

To apply for Futures and Futures Options trading permissions, visit tastytrade.com.au and complete the online application. You will be required to:

- Hold or open a margin account with tastytrade Australia;
- Apply for The Works level of trading permissions;
- Provide personal identification and verify your identity in accordance with our AML/CTF obligations;
- Disclose your financial circumstances, confirming you meet the minimum annual income (USD \$50,000+) and minimum liquid net worth (USD \$50,000+) requirements;
- Complete a knowledge and suitability assessment demonstrating adequate understanding of Futures and Futures Options, including how margin and leverage work, the risks involved, and your obligations regarding expiry and mark-to-market settlement; and
- Agree to the terms and conditions governing your account.

If you do not satisfy the requirements for The Works trading permissions, Futures and Futures Options access will not be activated. You may apply to upgrade your trading level at any time, subject to meeting the applicable requirements.

Before applying, you may wish to seek independent financial advice to determine whether Futures and Futures Options trading is appropriate for your individual circumstances.

14. Complaints and Dispute Resolution

Internal Complaints Process

tastytrade Australia is committed to responding to complaints promptly, fairly, consistently, and professionally. Our Complaints Policy is available at tastytrade.au/external-complaints-policy.

If you have a concern about a product or service, please contact our support team in the first instance. If you are not satisfied with the outcome, you may escalate your complaint to the Compliance Department at compliance@tastytrade.au. We will acknowledge your complaint promptly and endeavour to resolve it within the timeframes set out in our Complaints Policy.



Australian Financial Complaints Authority (AFCA)

If your complaint is not resolved within the period specified in our Complaints Policy, or if you are unhappy with our final response, you may refer your complaint to AFCA. AFCA provides a free and independent external dispute resolution service.

Organisation	Australian Financial Complaints Authority (AFCA)
Postal Address	GPO Box 3, Melbourne VIC 3001
Telephone	1800 931 678
Email	info@afca.org.au
Website	www.afca.org.au

15. Privacy

tastytrade Australia collects, uses, and discloses personal information in accordance with the Privacy Act 1988 (Cth) and the Australian Privacy Principles. We collect personal information for the purposes of providing financial services, meeting AML/CTF obligations, and managing your account. Personal information may be disclosed to tastytrade US, Apex, and other service providers where necessary to deliver our services.

Our Privacy Policy is available at tastytrade.com.au. If you have a query about how we handle your personal information, please contact us at support@tastytrade.au.

tastytrade Australia Pty Ltd

ABN 61 623 542 969 | AFSL 508867

Suite 4.04, 130 Pitt St, Sydney NSW 2000

T: +61 02 8317 1402 | E: support@tastytrade.au | W: <https://tastytrade.com/en-au/>