MOOMOO SECURITIES AUSTRALIA LTD TRADING AS

Moomoo NZ Financial Services Disclosure Statement

DATE | 31 May 2025

Financial Services Disclosure Statement

This document is a disclosure statement issued by Moomoo Securities Australia Ltd (NZBN 942 905 240 2296) *trading as Moomoo NZ* (Moomoo NZ, we, our or us). Moomoo NZ is an Australian Financial Services Licensee registered with the FSPR to provider financial services in New Zealand (FSP 1008656). This document is an important document about our products and services to help you decide whether to use our services.

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1 | Who we are

Moomoo NZ is an Australian Financial Services licensee also registered with the FSPR to provide financial services in New Zealand (FSP 1008656).

Moomoo NZ's parent company, Futu Holdings Limited (Nasdaq: FUTU), is backed by various strategic and venture capital investors including Tencent, Sequoia Capital, and Matrix Partners.

Moomoo NZ is a broker-dealer based in Sydney and licenses an online trading platform (**moomoo**) from an affiliated entity called Moomoo Technologies Inc.. The moomoo trading platform is free to download with no commitment to open a brokerage account. Our clients can use moomoo to apply to us for a brokerage account.

For further information on Moomoo NZ, you can refer to our website, https://www.moomoo.com/nz

2 | What financial services we offer

Moomoo NZ is authorized by our affiliated entity called Moomoo Technologies Inc., to be the operator of the moomoo trading platform in New Zealand. Under our FSPR Registration we are authorised to provide the following financial services in New Zealand:

- Changing foreign currency;
- Client money or property service – custodial, non-custodial, retail and wholesale;
- Keeping, investing, administering, or managing money, securities, or investment portfolios on behalf of other persons; and
- Trading financial products or foreign exchange on behalf of other persons – on licensed markets or otherwise.

We may provide general information in respect of financial products and services that can be dealt with through moomoo. This information does not take into account your personal financial situation, objectives or needs. Therefore, before acting on the information, you should consider the appropriateness of it having regard to your personal financial situation, objectives or needs.

We do not provide, and are not authorised to provide, financial advice (by definition given in relevant New Zealand laws). It is at your own discretion to decide whether or not you want to use our services. In the event that you need assistance or advice in this regard, you should consult a suitably qualified financial adviser.

Unless otherwise instructed by you at the time of completing your account opening application, each new account created by you through the Moomoo trading platform will be assigned an individual Holder Identification Number ("HIN") in the Clearing House Electronic Subregister System operated by ASX Settlement Pty Limited ("CHESS"). Any ASX-listed financial products you acquire through the account will be individually CHESS-sponsored and directly registered under your name. All execution, clearing and settlement services relating to ASX-listed financial products through the **CHESS-sponsored accounts** are provided by FinClear Execution Ltd, ABN 56 061 751 102, AFSL 246842.

For more information relating to the CHESS system, including its potential benefits, refer to ASX's factsheet: https://www.asx.com.au/documents/research/chess_brochure.pdf

When you specifically provide us with instructions to create a **custodian account** for ASX products at the time of completing your account application, we will provide custodial and depository services (other than investor directed portfolio services) to you and will hold the financial products acquired by you on bare trust. Moomoo NZ has a custody arrangement with a third-party asset holder (otherwise referred to as a "sub-custodian"), under which the sub-custodian will hold legal title to financial products that you acquire. Under this arrangement, Moomoo NZ will hold the beneficial interest in your financial products on your behalf. Under a bare trust, the trustee that holds your financial products will only deal in those products in accordance with your instructions. This is known as a “Custodian Model” for holding financial products.

3 | How you can provide us with instructions

Moomoo NZ will accept your order instructions via our online trading platform (moomoo), which is available at https://www.moomoo.com/nz.

If you place an order to trade with us, we will send you a confirmation once your order has been traded. You should review the confirmation immediately upon receipt to ensure its accuracy and report any discrepancies to us via our Client Service Centre on our website.

To change your personal details, you need to follow the relevant process on moomoo.

Further information on how to transact with us can be found in the Client Services Agreement, as available on our website at https://www.moomoo.com/nz.

4 | How we and others are remunerated in connection with the services

The information in this section is subject to change from time to time and does not include information in relation to taxes or duties that you may be required to pay in relation to an investment. Unless otherwise stated, all fees, charges, brokerage fees and benefits disclosed in this document are inclusive of the Goods and Services Tax (GST).

Generally, the payment we receive will be based on the amount of fees we charge you. Our fees and charges may vary from one financial product to another. Details of our fees and charges are contained in the Fees Schedule which is available on our website at https://www.moomoo.com/nz .

Moomoo NZ does not charge any fees for basic market information or general financial product advice that we provide, however we may charge additional fees for paid research reports, sophisticated market data or any other paid contents or information service which may attract fees from external providers.

Moomoo NZ may, in some cases, source revenue from providing services to external financial institutions that issue financial products. These services may include but are not limited to: placement of advertisements in the moomoo App, exposure of products through the moomoo App contents, joint events including seminars or webinars. The advertisements and contents distributed under these arrangements contain only factual information and in particular, Moomoo NZ will not provide any financial advice, endorsement or recommendation with regard to the issuers or their financial products.Moomoo NZ employees are remunerated by way of salary and may receive bonuses and other benefits from time to time. Remuneration is not directly attributable to the investments made by retail clients.

Various members of the FUTU Group and their directors and employees provide certain services to us to enable us to provide the services described in this document. The costs of providing these services are paid by us from the fees we receive. They may trigger an additional cost to you if applicable.

None of Moomoo NZ's related directors, employees or associates receives any other remuneration or benefits in respect of financial services provided to our retail clients.

5 | How we use the personal information collected from you

We collect your personal information for the primary purpose of establishing and administering your investments with us, communicating with you and providing you with access to protected areas of our websites. We also collect some personal information to meet our obligations, under the*Anti-Money Laundering and Countering the Financing of Terrorism Act 2009*. We use and disclose personal information to administer your investment, conduct product and market research, and deal with your concerns. We collect personal information through our interactions with you, as well

as in some instances from your financial adviser or other authorised representatives, your organisation, public sources and information brokers. Moomoo NZ may take reasonable steps to verify information collected.

A Privacy Policy setting out further details of our handling of personal information is available upon request or from our website at https://www.moomoo.com/nz. The Privacy Policy contains information about how you can access and seek correction of your personal information, about how you can complain or enquire about breaches of your privacy and about how we will deal with your complaint or enquiry.

We may disclose your information to our related or affiliated entities and to our service providers who assist us with, among other things, data storage and archiving, auditing, accounting, customer contact, legal, business consulting, banking, payment, data processing, data analysis, information broking, research, website and technology services, and who may be located in New Zealand or overseas. Your personal information may be disclosed to the New Zealand and overseas regulatory authorities at reasonable request by those authorities. We may also disclose your information to external parties on your behalf, such as your financial adviser, unless you have instructed otherwise.

We take reasonable steps to ensure that any recipient of your personal information do not breach the privacy obligations relating to your personal information.

Moomoo NZ and its related or affiliated entities may use your information on occasion, to inform you by telephone, electronic messages (like email), online and other means, about other services or products offered by us or them. We may do this on an ongoing basis, but you may opt out at any time.

If you wish to opt out, update or request access to your information, obtain a copy of our Privacy Policy or raise any queries or concerns regarding privacy, you may contact our Compliance Officer by contacting our Client Services Centre using the contact details below in the “How you contact us” section (see section 8 of this document).

6 | How we deal with complaints

If you have an enquiry or complaint, you can contact one of our Client Services Officers using the Client Services Centre on our website or within the moomoo App. We have established procedures to ensure that all enquiries and complaints are considered and dealt with in a timely and appropriate manner.

If our Client Services Officers are unable to resolve it to your satisfaction, please contact our Complaints Manager at complaints@nz.moomoo.com to lodge a formal complaint. Once received, your complaint will be acknowledged and steps will be taken to investigate your concerns. A final response will be provided as soon as we conclude our investigation.

If you are still not satisfied with the result of our investigation, you may lodge an external complaint with the Financial Services Complaints Limted (**FSCL**) by visiting its website, https://fscl.org.nz/ , of which we are a member (Membership No: 9349).

FSCL's contact details are as follows:

PO Box 5967, Wellington 6140	
Telephone:	0800 347 257
Email:	complaints@fscl.org.nz
Website:	https://fscl.org.nz/

7 | Professional Indemnity

Moomoo NZ has professional indemnity insurance in place in respect of financial services provided to our clients.

8 | How you contact us

Our address and contact details are as follows:

Postal address:	Suite 501, Level 5, 570 George Street, Sydney NSW 2000, Australia
Email:	support@nz.moomoo.com
Website:	https://www.moomoo.com/nz