

Australian Financial Services Corporation (AFSC) Pty Ltd

Financial Services Guide

Issue Date: 8th November 2023

Purpose and Contents of this Financial Services Guide (“FSG”):

This FSG is designed to provide you with important information about AFSC, us and our financial services and products.

This information includes:

- Who we are and how you can contact us.
- Who our authorising Australian Financial Services Licensee is and how you can contact them.
- What services we are authorised to provide as authorised representative.
- How we are remunerated for these services.
- Any (potential) conflicts of interest we may have.
- Our dispute resolution processes and compensation arrangements.

If you would like further information, please contact us.

AFSC Pty Ltd, (CAR No. 001275455) is a corporate authorised representative of ShareX Pty Ltd (AFSL No. 519872).

AFSC Pty Ltd

Level 3, 273-279 Sussex Street
Sydney, NSW 2000
T: (02) 8999 0588

ShareX Pty Ltd

26 Macarthur Street
Cottesloe, WA 6011
M: 0409 298 978

What financial products can we offer?

We are authorised to provide general advice only, and deal in, the following financial products in relation to retail and wholesale clients:

1. Securities;
2. Debentures;
3. Derivatives;
4. Interests in managed investment schemes excluding investor directed portfolio services; and
5. Basic deposit products.

What financial services can we offer?

It is important for you to understand that under these disclosures, we can only provide you with general advice and trading. The “general” nature of this advice means that it will not account for nor be tailored to your individual objectives, specific financial situation or other personal needs.

Accordingly, it is important that you obtain prior advice from a licensed professional regarding the suitability of our products and services for your individual objectives, specific financial situation or other personal needs.

How can I give you instructions about my Financial Product/s?

We can deal on your behalf by carrying out your specific instructions. You can send us your specific instructions in the following ways:

- In person
- By ordinary or registered post
- By email communication
- Via the telephone
- Such other method as may be mutually agreed between us

Do you have any relationships or associations with Financial Product issuer?

We are an Authorised Representative of ShareX Pty Ltd and in providing you with financial services and products, we are acting on behalf of our Australian Financial Services Licensee.

What documentation will I receive from AFSC?

AFSC will provide its clients with the relevant information to facilitate the provision of its general advice and execution of your transactions. It is important that you carefully read all documentation and disclosure statements that we give you, and seek professional financial, legal and taxation advice to enable you to make informed investment decisions.

Our record-keeping obligations

AFSC will seek to ensure that comprehensive and accurate records of all client information, transactions and all client advice provided, are properly maintained.

How is AFSC remunerated for the financial services provided?

AFSC may receive brokerages, fees and commissions from third-party product issuers. Such fees will be advised to you prior to being charged to you.

Representatives of AFSC who provide you with general advice or execute a transaction on your behalf may receive commissions or other remuneration for the provision of these services.

How are any commissions, fees or other benefits calculated for providing the financial services?

Advisory Brokerage

One Off Trades

Value Service

The greater of \$95 or 0.95%. Pricing is exclusive of GST.

Same Day Service

The greater of \$140 or 1.40%. Pricing is exclusive of GST.

VIP Service

The greater of \$175.00 or 1.75%. Pricing is exclusive of GST.

For complex share sales requiring additional legal document verifications and regulatory compliance checks which are not registered to individual / joint holders (ie shares owned by a company, trust, SMSF, or deceased estate), a surcharge of \$50 or 0.5%, plus GST (whichever is greater) will apply. The amount is deducted from the proceeds of the share sale.

Aussie Share Sales

\$195 + 0.5%. Pricing is exclusive of GST.

For complex share sales requiring additional legal document verifications and regulatory compliance checks which are not registered to individual / joint holders (ie shares owned by a company, trust, SMSF, or deceased estate), a surcharge of \$50 or 0.5%, plus GST (whichever is greater) will apply. The amount is deducted from the proceeds of the share sale.

Kaz Private Wealth

Minimum flat fee brokerage: \$20.00. Pricing is exclusive of GST.

Maximum percentage brokerage: 2.00%. Pricing is exclusive of GST.

Maximum management fee: 2.00% plus up to 30.00% performance fees. Pricing is exclusive of GST.

Representative Remuneration

Representatives of AFSC will receive a salary as remuneration and may receive commissions or other remuneration for the provision of these services.

Will anyone be paid for referring me to you?

Where you have been referred to us by someone else, if we pay them a fee or commission in relation to that referral, we will tell you who will receive that fee or commission and the amount they will receive.

Disclosure of any Relevant Conflicts of Interest

Subject to disclosures in any PDS or other transaction documents we provide you, we do not have any relationships or associations which might influence us in providing you with our services.

AFSC may arrange for you to be supplied with financial services and products issued by non-related product issuers. One Off Trades may receive a fee from these non-related issuers as a result of you investing in one of their products or services.

What should I do if I have a complaint?

AFSC has an internal dispute resolution process in place to resolve any complaints or concerns you may have, as quickly and fairly as possible in light of all the circumstances.

If you have any concerns or complaints, please advise us by letter, by email on;

complaints@kazprivatewealth.com.au,

complaints@oneofftrades.com.au,

complaints@aussiesharesales.com.au, or

complaints@shareworld.com.au

(as applicable) or by telephone, addressed or directed to our Compliance Manager. Upon receipt of your letter, we will seek to resolve your complaint within 45 days.

If you are dissatisfied with our handling of your complaint or concern, you have the right to lodge a complaint with the **Australian Financial Complaints Authority** (“AFCA”). AFCA is an external dispute resolution scheme, of which AFSC and ShareX is a member. The contact information for AFCA is:

Australian Financial Complaints Authority

GPO Box 3

Melbourne VIC 3001

Telephone: 1800 931 678

Facsimile: +61 3 9613 6399

Website: www.afca.org.au

Email: info@afca.org.au

Our Australian Financial Services Licensee ShareX maintains professional indemnity insurance in relation to the financial products and services we provide, in compliance with the legal requirements set out in Section 912B of the Corporations Act 2001 (Cth) and ASIC Regulatory Guide 126. From the effective date of this FSG the policy covers claims in relation to the conduct of present and past representatives.

We may rely on these professional indemnity insurances for claims for compensation we receive from clients or past clients. These insurances are between ShareX as our authorising Australian Financial Services Licensee and their insurer and are intended to respond to civil liability resulting from significant claims for compensation made against us for financial services provided by us or our representatives. These insurances provide cover even if one of our representatives has ceased to act or work for us.

Where we are liable to make a compensation payment ourselves, we will generally do so out of existing cash-flow and other resources.

Privacy

AFSC is committed to protecting your Personal Information in accordance with the Australian Privacy Principles (APP) and the *Privacy Act 1988* (Cth) (the Privacy Act). Our Privacy Policy contains up to-date information about our privacy practices and procedures.

You can access our Privacy Policy at;

kazprivate.com.au,
oneofftrades.com.au,
aussiesharesales.com.au, or
shareworld.com.au

(as applicable), or alternatively, you can request a copy be sent to you by sending a written request to:

AFSC Pty Ltd
Level 3,
273-279 Sussex Street
Sydney, NSW 2000

Generally, AFSC will not disclose your Personal Information without your consent, except as authorised under its client agreement, terms and conditions, and/or as authorised or required under any Australian law or regulation.
