



# AUSTRALIAN STOCK REPORT

## **Financial Services Guide**

Version 2: 8 June 2022



# Financial Services Guide

## Important Information

This Financial Services Guide (“FSG”) has been prepared and is distributed by Australian Stock Report Pty Limited ABN 94 106 863 978 (“Australian Stock Report” or “ASR”) AFSL 301682.

As an AFSL holder, ASR is required to provide you with important information to assist you as you consider whether to use our financial services.

- The purpose of this FSG is to:
- Explain who we are and how we can be contacted;
- Ensure you receive important information about the type of financial services we are authorised to provide to you;
- Assist you in deciding whether to use any of the financial services we are authorised to provide to you;
- Provide you with information about the remuneration we may receive in relation to the financial services offered;
- Explain how we (and other relevant parties) are remunerated; and
- Outline how we will handle any complaints received.

If you choose to purchase any financial product offered by ASR, you may also receive other important documents, such as a Product Disclosure Statement (“PDS”) or an FSG from one of our partners. A PDS contains important information to assist you to make a decision about the specific product. The PDS and / or offer document contains key features of the proposed product, significant benefits, risks and the fees you pay the product provider to professionally manage your investment.

You should read any warning contained in a PDS or offer document carefully before making any decision in relation to a financial strategy or product.

## About ASR

Australian Stock Report is an Australian-owned, boutique financial services company assisting clients in building knowledge and wealth through our subscription reports and other products. We aim to achieve this goal through education on the share market and investment strategies.

ASR is wholly owned by the Amalgamated Australian Investment Group Limited ABN 81 140 208 288 (“AAIG”). Other related entities operating within AAIG include Amalgamated Australian Investment Solutions Pty Limited ABN 61 123 680 106 AFSL 314614, Atlantic Pacific Securities Pty Ltd trading as ASR Wealth Adviser ABN 72 135 187 085 CAR 339207, HC Securities Pty Limited ABN 78 117 830 805 CAR 297316, Ascot Securities Pty Ltd ABN 45 075 902 206 AFSL 246718, Australian Investment and Insurance Group Pty Ltd ABN 93 068 486 126 AFSL 226405, APSEC Compliance and Administration Pty Ltd ABN 30 142 148 409 AFSL 345443, APSEC Funds Management Pty Ltd ABN 48 152 440 723 CAR 411859 and Atlantic Pacific Australian Equity Fund ARSN 158 861 155 (the AAIG Group).

## Our financial services and products

ASR and its Authorised Representatives are authorised to provide general financial product advice to both retail and wholesale clients on:

- Securities; and
- Derivatives.

ASR strives to deliver high quality information and general advice on securities and derivatives, which may include overseas securities and derivatives. ASR provides a range of products including report services for clients to subscribe to.

Before acting on any information or general advice you receive, you should consider the appropriateness of the advice and suitability of the relevant product having regard to your individual objectives, financial situation, risk tolerance, experience and needs. You should seek financial advice from a person qualified to provide personal advice and read the relevant PDS or other offer document prior to making any investment decision.

## About general advice

Any investment advice we provide to you in relation to services offered or specific financial products will be general in nature and will be prepared without taking account of your individual investment objectives, financial situation or needs. Accordingly, before acting on any advice, you should consider the appropriateness of it, and the relevant product, in regard to your objectives, financial situation and needs. In addition to this FSG, you may receive other documents from us. If we propose that you invest in or purchase any particular financial products, we will provide you with or refer you to a PDS or private offer document, if one is available. The PDS contains information about the product to assist you in making an informed decision about that product. It will outline relevant terms, significant risks (where such exist), fees and charges associated with the product. You should read any warnings contained in the PDS or offer document carefully before making any decision relating to a financial strategy or product. You should also seek independent personal financial advice and read the relevant PDS or other offer document prior to acquiring a financial product.

## Remuneration and benefits we receive

ASR may charge fees for the services we provide or facilitate. These fees may be charged in various ways which may include, but may not be limited to:

- Subscription or service fees; and
- Other benefits that are paid with your consent.

ASR may, with your permission, refer you to an external provider or a service provider within the AAIG Group in relation to other services or products. We may receive a referral fee for introducing you to the specialist or internal product provider. Neither ASR nor ASR employees or representatives are liable nor endorse products or services provided by external providers.

Directors, employees and contractors are remunerated by way of set salaries and contract fees. Directors, employees and contractors may receive bonuses based on overall company, team and personal performance.

**Alternative Remuneration** - Any other form of remuneration, such as gifts, entertainment or sponsorship, are recorded by ASR on a central register. A copy of this register may be made available within seven days of a reasonable and related request.

### Relations or associations with financial product providers

ASR has commercial arrangements in place with various product providers in order to provide financial services to you. Any related fees and charges will be disclosed to you prior to services being offered.

ASR also has referral services arrangements in place with entities within the AAIG Group whereby ASR products and services may be promoted and sold to clients of other entities within the AAIG Group and ASR is authorised to promote the products and services that may be offered by other entities within the Group.

### Our contact details

#### Australian Stock Report Pty Limited

Email: [support@australianstockreport.com.au](mailto:support@australianstockreport.com.au)

Website: [www.ausrtalianstockreport.com.au](http://www.ausrtalianstockreport.com.au)

#### Melbourne office

Address: Level 14, 360 Collins Street, Melbourne VIC 3000

Phone: 1300 720 292

+61 3 8686 3800

#### Sydney office

Address: Level 4, 10 Barrack Street, Sydney NSW 2000

Phone: +61 2 8356 9356

### Professional Indemnity Insurance

ASR holds a professional indemnity insurance policy that satisfies the regulatory requirements for compensation arrangements under Section 912B of the Corporations Act. Subject to the terms and conditions, the arrangements provide cover for civil liability resulting from third-party claims concerning the professional services provided by ASR and its employees and representatives.

### What should you do if you have a complaint

If you have any complaints about the services provided to you, we have established complaints resolution procedures that aim to deal with and resolve your complaint quickly and effectively.



We encourage you to contact your ASR Account Manager in the first instance to discuss your concerns as soon as possible. Alternatively, you may contact the Complaints Officer in writing, by email, over the phone or in person:

Complaints Officer  
Australian Stock Report Pty Limited  
By email to [compliance@aigl.com.au](mailto:compliance@aigl.com.au)  
By mail to Level 14 360 Collins Street, Melbourne VIC 3000  
By phone on + 61 3 8686 3880

The Complaints Officer will resolve your complaint or advise you of the steps that ASR shall take to review and address your complaint. The issues involved may be complex and subject to special regulations.

In either case, you will receive an acknowledgment within 24 hours (or as soon as practicable) of your complaint being received. We will provide you with our written reasons for the outcome of your complaint within 30 days where your complaint is not resolved within 5 business days of us receiving your complaint or if you request a written response.

ASR is a member of the Australian Financial Complaints Authority (AFCA), an ASIC authorised external dispute resolution scheme for the financial services industry. If your complaint isn't resolved to your satisfaction within 30 days, you may then refer the matter to AFCA using the following contact details:

Mail: GPO Box 3, Melbourne Victoria 3001  
Phone: 1800 931 678 (toll free Australia-wide)  
Fax: +61 3 9613 6399  
Email: [info@afca.org.au](mailto:info@afca.org.au)  
Online: [www.afca.com.au](http://www.afca.com.au)

We also urge you to refer to our Client Complaints Policy available on our website [www.ausrtralianstockreport.com.au](http://www.ausrtralianstockreport.com.au) where we explain our complaint handling process in detail.

## Privacy Statement

We are committed to protecting the privacy, accuracy and security of the personal information provided to us about you by you or others who you have consented to provide such information. The information is protected in accordance with our Privacy Policy.

Your personal information will be primarily used for providing you with general financial advice. If you choose not to provide the personal information requested, we may be unable to provide some or all of the services required.

Your Personal Information will only be disclosed internally within ASR and third party service providers in accordance with our Privacy Policy and as required by law. Please refer to our Privacy Policy which is available at [www.ausrtralianstockreport.com.au](http://www.ausrtralianstockreport.com.au) or can be sent directly to you via email or post on request.

