

# Financial services guide

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## 1 What is a financial services guide?

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- 1.1 This Financial Services Guide (**FSG**) is an important document that provides you with information to help you decide whether to use the financial services I offer. It contains information about:
- (a) documents you may receive from me;
  - (b) the financial services I provide;
  - (c) how I and other associated persons are remunerated from those financial services;
  - (d) how your personal information is dealt with; and
  - (e) how complaints are dealt with.
- 1.2 This FSG is dated 16 April 2020.

## 2 Who am I?

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- 2.1 My contact details are contained at the end of this FSG. I am an authorised representative of Investors Exchange Limited ACN 116 489 420 (**IEL**) which holds Australian Financial Services Licence (**AFSL**) no. 299024
- 2.2 IEL's contact details are set out at the end of this FSG. IEL is the responsible entity of the Investors Exchange Fund ARSN 127 384 767, and also Investors Exchange Investment Fund ARSN 120 933 093.
- 2.3 I am authorised to provide financial services on behalf of IEL and IEL has authorised me to give this FSG to you.

## 3 What financial services can I provide?

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- 3.1 This FSG is provided to help you decide whether to use the financial services I am authorised to provide associated with the acquisition of units in the Fund (**Units**).
- 3.2 Specifically, I am authorised to provide general financial product advice on Units and to deal in a financial product by acting on behalf of another in acquiring, varying or disposing of Units. In particular, I will provide these financial services in connection with varioubeing made by the Fund.
- 3.3 These services are provided for the Fund only. IEL acts on its own behalf, and not on your behalf, when I provide financial services for it as an authorised representative.

## **4 What other documents may you receive from me?**

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- 4.1 If required by law, you will receive a product disclosure statement (**PDS**) containing information on the offer of Units. You will receive a PDS before you are issued, or offered, Units.
- 4.2 The purpose of a PDS is to provide you with information about the Fund and the offer of Units to assist you in deciding whether to invest. The PDS includes general information about:
- (a) terms and conditions of an investment in the Fund;
  - (b) any significant risks associated with investing in the Fund;
  - (c) information about the cost of Units; and
  - (d) details of the fees and charges you may be required to pay as a member of the Fund.
- 4.3 The information in the PDS will assist you in making an informed decision about whether to invest in the Fund.
- 4.4 The PDS for the Fund is available from me or through IEL's website. Please review the PDS carefully before making any decision to invest.

## **5 How can you transact with me?**

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- 5.1 You can give me instructions by telephone, mail, or email. My contact details are set out at the end of this FSG.

## **6 How am I paid for the services I provide on behalf of IEL?**

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- 6.1 I am not paid any commissions of any amount you invest in the fund.
- 6.2 IEL will receive ongoing fees and charges whilst you are a member of the Fund. Details of the remuneration IEL may receive is outlined in the PDS for the Fund.

## **7 Compensation arrangements**

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- 7.1 IEL holds an insurance policy covering professional indemnity and fraud by officers that satisfies the requirements of section 912B of the *Corporations Act 2001* (Cth). The policy covers the financial services IEL is authorised to provide under its AFSL, including when the services are provided by IEL's authorised representatives or former authorised representatives.
- 7.2 IEL is also a member of the Financial Ombudsman Service (see section 8.3 for further details).

## **8 What should you do if you have a concern or complaint?**

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- 8.1 If you have complaints about me, resulting from the services provided to you, please contact IEL on:

**By mail**

- (a) Complaints Manager  
Investors Exchange Limited  
PO Box 459  
OXENFORD QLD 4210

**By phone**

- (b) Complaints Manager  
Investors Exchange Limited  
1300 737 903

8.2 You will be contacted in writing immediately or, where IEL is unable to reply immediately, as soon as possible acknowledging receipt of your complaint and IEL will try to resolve any issues you may have.

8.3 If any issues are not resolved to your complete satisfaction after consideration by the Complaints Manager and, if referred by you, IEL's board you may wish to refer the matter to the Australian Financial Complaints Authority (AFCA), which can be contacted either:

**By mail**

- (a) Australian Financial Complaints Authority  
GPO Box 3  
MELBOURNE VIC 3001

**By fax**

- (b) Australian Financial Complaints Authority  
03 9613 6399

**By phone**

- (c) Australian Financial Complaints Authority  
1800 931 678

**By email**

- (d) Australian Financial Complaints Authority  
info@afca.org.au

8.4 You may also contact ASIC on 1300 300 630.

## **9 How is your personal information dealt with?**

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9.1 Protecting your personal information is important to IEL, its related entities and me. Your personal information will be dealt with in accordance with IEL's privacy policy which is available from me on request. Alternatively, you can view IEL's privacy policy at [www.InvestorsExchange.com.au](http://www.InvestorsExchange.com.au).

## 10 Contact details

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- 10.1 If you have any queries or would like further information, my and IEL's contact details are set out below:

### Representative

Glenn Griffin

AFSL no. 299024  
112 Siganto Drive  
Helensvale, Qld 4212

Phone 1300 737 903  
Mob 0419782377  
Email [glenn@InvestorsExchange.com.au](mailto:glenn@InvestorsExchange.com.au)

### Licensee

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