

FINDEX

Financial Services Guide Findex Corporate Finance (Aust) Ltd

A guide to our relationship with you

Version date: 5 April 2019



Findex Corporate Finance (Aust) Ltd ABN 95 001 508 363 (“we” or “us” or “our” as appropriate) has been engaged to issue general financial product advice in the form of a report to be provided to you.

Financial Services Guide

Before we provide general financial product advice we are required to provide certain information about us to you. This Financial Services Guide (FSG) is designed to outline the types of products we can provide to you under our financial services license.

The FSG contains the following sections and will provide you with key information including:

1. Who is Findex Corporate Finance (Aust) Ltd?
2. What kinds of financial services are you authorised to provide to me?
3. General Financial Product Advice
4. Does Findex Corporate Finance (Aust) Ltd have any relationships or associations with financial product issuers?
5. How is Findex Corporate Finance (Aust) Ltd paid to produce a report?
6. Does Findex Corporate Finance (Aust) Ltd get paid for referring clients to invest in the products associated with your reports?
7. Do I pay for the financial services provided?
8. Compensation arrangements
9. Who can I complain to if I have a complaint about the financial services provided?

1. Who is Findex Corporate Finance (Aust) Ltd?

Although you may only see the local face of our business, we are part of Findex Group Limited operating in city and regional areas.

Findex Corporate Finance (Aust) Ltd (FCF) ABN 95 001 508 363 which holds Australian Financial Services Licence number 239170 is owned by Findex Group Limited (Findex).

Our contact details are as follows:

Findex Corporate Finance (Aust) Ltd
Level 17, 181 William Street
Melbourne VIC 3000
Ph: (03) 9292 0101

2. What kinds of financial services are you authorised to provide to me?

We are authorised to carry on a financial services business to, amongst other things; provide financial product advice for the following classes of financial products:

- Derivatives; and
- Securities

We provide financial product advice by virtue of an engagement to issue a report in connection with a financial product of another person or entity. Our report will include a description of the circumstances of our engagement and identify the person or entity who has engaged us. You have not engaged us directly but will be provided with a copy of the report because of your connection to the matters in respect of which we have been engaged to report.

Any report we provide is provided on our own behalf as a financial services licensee authorised to provide the financial product advice contained in the report.

3. General Financial Product Advice

In our report we provide general financial product advice, not personal financial product advice, because the advice has been prepared without taking into account your personal objectives, financial situation or needs.

You should, before acting on the advice, consider the appropriateness of the advice, having regard to your objectives, financial situation and needs.

4. Does Findex Corporate Finance (Aust) Ltd have any relationships or associations with financial product issuers?

Findex Corporate Finance (Aust) Ltd operates as part of the business advisory and professional accounting practice of Findex, which is a part of the Findex Group. Findex Group Limited is our ultimate holding company.

Findex Corporate Finance (Aust) Ltd and any of its associated entities may at any time provide professional or financial services to financial product issuers in the ordinary course of our business.

5. How is Findex Corporate Finance (Aust) Ltd paid to produce a report?

We will receive a fee for the preparation of the report. This fee will be paid by the person or entity which engages us to provide the report. The fee has not affected the opinion we have expressed in the report.

Except for the fee referred to above, neither Findex Corporate Finance (Aust) Ltd, nor any of its partners, employees or related entities, receives any pecuniary benefit or other benefit, directly or indirectly, for or in connection with the provision of the report.

6. Does Findex Corporate Finance (Aust) Ltd get paid for referring clients to invest in the products associated with your reports?

We do not pay commissions or provide any other benefits to any person for referring clients to us in connection with the reports that we are engaged to provide.

We do not receive commissions or any other benefits for referring clients in connection with the underlying financial product and/or financial service that is the subject of the reports we are engaged to provide.

7. Do I pay for the financial services provided?

You do not pay us a fee for the production of a report. It is the responsibility of the person or entity which has engaged us to produce the report to meet this cost.

8. Compensation arrangements

We have professional indemnity insurance in place that satisfies the requirements for compensation arrangements under section 912B of the Corporations Act.

9. Who can I complain to if I have a complaint about the financial services provided?

Internal complaints resolution process

As a holder of an AFSL, we are required to have a system for handling complaints from persons to whom we provide financial product advice. If you have any complaint about the service provided to you, please contact us and tell us about your complaint.

If your complaint is not satisfactorily resolved within three business days, please contact the Complaints Officer, either via telephone on (03) 9292 0101, or in writing and addressed to:

Dispute Manager
Findex Group Limited PO Box R1851
Royal Exchange NSW 1225

Referral to external dispute resolution scheme

If we have not resolved your complaint within 45 days, or the issue has not been resolved to your satisfaction, you can lodge a complaint with the Australian Financial Complaints Authority (AFCA).

AFCA provides fair and independent financial services complaint resolution that is free to consumers. They can be contacted on 1800 931 678, www.afca.org.au, via email at info@afca.org.au or in writing to Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001.

Contact Details

If you have any further questions about the financial services Findex Corporate Finance (Aust) Ltd provides, please contact our head office on (03) 9292 0101.

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Level 17, 181 William Street
Melbourne VIC 3000
Ph: (03) 9292 0101

This FSG was issued on 5 April 2019 by Findex Corporate Finance (Aust) Ltd ABN 95 001 508 363 | AFSL No. 239170