



Primary Securities

PRIMARY SECURITIES LTD
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FINANCIAL SERVICES GUIDE

| YOUR QUESTIONS | MY ANSWERS |
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| What is the purpose of this Financial Services Guide? | The financial services guide provides you with information to help you decide whether to use the financial services offered by Primary Securities Ltd. |
| Who is the authorising licensee? | Primary Securities Ltd, ABN 96 089 812 635, AFSL 224107. |
| Who is the authorising licensee? | <p>Primary Securities Ltd is licensed under the Corporations Act, to provide financial services.</p> <p>Primary Securities Ltd, through its authorised representatives, can provide general financial product advice in respect of:</p> <ul style="list-style-type: none">• Basic Deposit Products;• Deposit products other than Basic Deposit Products• Derivatives;• Managed Investment Schemes excluding investor directed portfolio services; and• Securities. <p>Primary is also authorised to deal in financial product transactions in respect of:</p> <ul style="list-style-type: none">• Derivatives;• Managed Investment Schemes excluding investor directed portfolio services; and• Securities. <p>The three Directors of Primary Securities Ltd have between them a combination of legal and commercial qualifications including qualifications in accountancy and tax and other relevant business experience. The managing director of Primary Securities Ltd, Robert Garton Smith, has more than 30 years of experience in managed investments and similar forms of investment.</p> |
| Who will be responsible for the advice given to me? | Primary Securities Ltd, as the Australian Financial Services Licensee is responsible for the advice and services provide by its appointed authorised representatives. Details of the relevant authorised representative are set out at the end of this document. |

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| What financial services are available to me? | <p>Primary Securities Ltd, through its authorised representatives, can only offer you general financial product advice.</p> <p>General financial product advice does not relate specifically to you and therefore may not be appropriate to your particular financial needs, objectives, financial circumstances and best interests. You should take this into account before deciding whether or not to act on the advice given to you.</p> |
| Will I receive a Disclosure Statements containing details of fees and charges? | <p>If the financial services are provided in respect of a managed investment scheme or individually managed agreement of which Primary Securities Ltd is the responsible entity, or Trustee you will be given a product disclosure statement or information memorandum containing information you would reasonably require to make a decision about whether to acquire the financial product. The product disclosure statement or information memorandum will disclose details of any fees and charges payable for that product.</p> |
| How is the authorised representative remunerated for the services provided? | <p>If the financial services are not in respect of a managed investment scheme of which Primary Securities Ltd is the responsible entity or trustee then the advisor is remunerated by way of a percentage of the net fees and commissions paid to Primary Securities Ltd by the advisor's clients.</p> <p>The rates of these fees and commissions will be disclosed to the client prior to provision of the service.</p> |
| How can I transact with you? | <p>You can give instructions to your authorised representative by telephone (recorded), mail, or email. Primary Securities Ltd's contact details are set out at the beginning of this document</p> |
| How is my personal information dealt with? | <p>Your personal information will be dealt with in accordance with Primary Securities Ltd's privacy policy which is available on request. Alternatively, it can be viewed at:</p> <p>https://primarysecurities.com.au/about-us/privacy-policy/</p> |
| Do you have compensation arrangements in place? | <p>Primary Securities Ltd has professional indemnity insurance in place that covers the financial services it provides. This cover is subject to terms and exclusions and meets the requirements under Regulatory Guide RG126 and Section 912B of the Corporations Act 2001.</p> |
| Who can I complain to if I have a complaint about the financial service? | <p>If you have any complaint about the service provided to you, you should contact your adviser and tell him about your concerns.</p> <p>If you are not satisfied with the manner in which we have dealt with your complaint, you may contact Primary's Complaint Officer, Anna Catelli on 08 9430 5262 or by email catelli@primarysecurities.com.au</p> <p>Primary has a formalised client complaint resolution procedure. All complaints are reviewed and investigated by Primary's Complaints Officer. If you make a complaint, our first response will be to contact you to discuss the complaint and to register a formal record of such complaint. We will try to resolve your complaint quickly and fairly.</p> |

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| | <p>If, despite our best efforts, you believe your complaint has not been satisfactorily dealt with, we offer clients the use of an independent industry arbiter, namely, the Australian Financial Complaints Authority (AFCA). Primary has agreed not to contest a final resolution from AFCA.</p> <p>You can contact AFCA by writing to:</p> <p>Australian Financial Complaints Authority</p> <table border="1" data-bbox="549 562 1193 669"> <tr> <td data-bbox="549 562 719 595">Telephone</td> <td data-bbox="719 562 1193 595">Toll Free: 1300 931 678</td> </tr> <tr> <td data-bbox="549 595 719 629">Mail</td> <td data-bbox="719 595 1193 629">GPO Box 3, Melbourne VIC 3001</td> </tr> <tr> <td data-bbox="549 629 719 669">Website</td> <td data-bbox="719 629 1193 669">info@afca.org.au</td> </tr> </table> | Telephone | Toll Free: 1300 931 678 | Mail | GPO Box 3, Melbourne VIC 3001 | Website | info@afca.org.au |
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AUTHORISED REPRESENTATIVE DETAILS

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| Who is my authorised representative? | <p>Your authorised representative is Actvest Pty Ltd which was appointed as an authorised representative on 18th July 2016. Actvest Pty Ltd's authorised representative number is 000306718</p> <p>Actvest Pty Ltd has appointed Alan Hull to carry out the authorised representative functions. His authorised representative number is 000301951</p> |
| What are the contact details of my authorised representative? | <p>Alan Hull Address: 7 Cousin Drive, Bayswater, Victoria, Australia, 3153 Email: enquiries@alanhull.com Phone: +613 9513 0070 Fax: +613 9778 7062</p> |
| Does my authorised representative have any associations that should be disclosed? | No |
| Does my authorised representative have any conflicts of interest or soft dollar benefits? | Alan Hull and Actvest Pty Ltd are required to keep a register of alternative remuneration which shows any payment other than fees and commissions which may be received from fund managers or product providers. This register is available with 7 days' notice. |
| What qualifications does Alan Hull hold? | <p>Alan Hull holds the following qualifications:</p> <ul style="list-style-type: none"> RG146 Tier 1 - Minimum industry requirements for advising on Superannuation RG146 - advising in Securities RG146 - advising in Derivatives RG146 - advising in Managed Investments |

Dated: 26 March 2020