

# **Alpha Securities**

## **Financial Services Guide**

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Issued by Alpha Securities Pty Ltd  
ABN 96 124 327 064  
AFSL 330757

This Financial Services Guide (“FSG”) is an important document which provides information about Alpha Securities Pty Ltd (“Alpha”) and the financial services provided by our private client advisers.

This FSG is intended to assist you to decide whether to use our services and to explain:

- Information about Alpha and who your adviser;
- Alpha’s licence authorisation;
- The financial services being provided to you;
- How we provide the advice;
- How you can instruct us and your obligations;
- Remuneration for our services;
- Associations;
- What to do if you have a complaint;
- How may use your personal information; and
- How Alpha may be contacted.

Alpha takes responsibility for the advice and services provided by our adviser to you. This FSG contains information on the securities trading services we offer and other financial services we provide.

**Alpha only provides general advice to you and accordingly does not take into account your personal financial situation, needs and objectives when providing this advice. You need to consider our advice in light of your own particular circumstances before making any investment decision.**

Other important documents you may receive from us are:

- a Statement of Advice which must be provided when we provide any advice to you which takes into account your financial situation, needs and objectives; or
- a Product Disclosure Statement which will be given to you if you are acquiring, or a recommendation is made to you to acquire, a particular financial product (other than securities traded on a licensed market).

In addition to the financial services we provide, associated financial services are likely to be provided to you by one or more financial service providers (such as execution, clearing and settlement services). Typically those service providers will also provide you with a financial services guide relating to the services they provide even though your instructions will be provided through Alpha.

## **Who is Alpha**

Alpha is a boutique financial services company which specialises in the provision of securities trading services to private and institutional clients in addition to the provision of corporate advisory services to companies. Alpha premises are located in Sydney.

The managing director of Alpha has worked in financial markets for over 20 years holding senior management positions at a number of multi international investment houses. Alpha was established in 2008 to provide customised investments solutions for serious investors who value personal service. Trust and

integrity are paramount in the close working relationship between Alpha and its client. Alpha works with you to ensure that we all are working towards the same financial goals. Quality, accuracy and dependability are 'must haves' in the development of successful financial plans. Alpha is backed by a powerful network of support services, including active investment research resources, compliance, technology, on-going educational support, professional development and access to a broad range of investment products. We are committed to the highest standards of professionalism and integrity. This is demonstrated through our ongoing professional development of our team by understanding our clients, their businesses and their interests.

### **What services does Alpha provide**

Alpha is authorised by its Australian Financial Services Licence to provide you through its advisors with the following services and products:

Advise and dealing services in relation to:

- ☒ Securities (Domestic and International),
- ☒ Derivatives,
- ☒ Government debentures and bonds,
- ☒ Deposit products,
- ☒ Foreign exchange,
- ☒ Managed investments,
- ☒ Managed discretionary accounts and
- ☒ Margin lending

Alpha is responsible for the services provided by your adviser.

### **How we provide advice**

Prior to us providing you with our services for the first time, you will need to complete an account opening form and verify your identity.

Alpha normally only provides general advice to clients however should you want advice which takes into account your personal financial situation, needs and objects we will require you to provide us with additional information so that we can provide this specific advice. Should you choose not to provide this information our advice will be limited to the extent that we are aware of your financial circumstances.

If we are providing you with specific advice we are required to provide you with a Statement of Advice (SOA) which sets out the nature and basis of our advice. A Statement of Additional Advice ("SOAA") will usually be given where we provide advice in respect of a particular transaction which is outside the scope of advice previously provided in a SOA. Where further advice is provided which is within the scope of advice previously given we will retain a record of that advice. Where we do not give you that advice in writing you may request a written record of that further advice at any time up to 7 years from the date the advice was given by contacting Alpha.

Should we provide advice recommending that you consider acquiring a financial product (other than securities traded on a stock exchange) we may also have to provide you with a Product Disclosure Statement ("PDS"). A PDS is a document that provides you with information about a financial product and the entity which issues that product. The PDS is required to contain information about the financial product so that you can make an informed decision whether or not to

acquire that product. Any PDS provided should always be considered by you before making an investment decision.

### **Providing instructions and your obligations**

We will accept your instructions in person, by telephone or e-mail. However you must confirm with us that instructions sent by e-mail have been received by us.

All instructions to buy or sell listed equities and warrants are automatically accepted on a “good till cancelled” (GTC) basis unless alternate instructions are provided. Likewise all instructions to buy or sell exchange traded options are automatically accepted on a GTC basis unless alternate instructions are provided.

Notwithstanding that all accounts are handled on a non-discretionary basis, you can give your adviser discretion as to price and the time of execution of a transaction that you have instructed in all other respects.

You must review any confirmation or statement on receipt to ensure accuracy and report any discrepancies to us immediately. Confirmations and statements can be either mailed or emailed to you. The manner of delivery will be agreed at the time of establishing your account. Should you wish to change any aspect of your account or services to be provided you must notify us in writing.

### **Remuneration for our services**

Generally a commission will be charged on each transaction executed on your behalf based upon the type and level of service required and provided, and the size and frequency of transactions.

The standard fee's are as follows

Australian listed shares	1% of value subject to \$100 minimum plus 10% GST
Australian derivatives	1% of value subject to \$100 minimum plus 10% GST
International shares	2% of value subject to \$200 minimum plus 10% GST

For example a \$15,000 Australian share parcel will incur \$150 brokerage plus \$15 GST for a total cost of transaction of \$165, and a \$5,000 share parcel transaction will incur a \$100 transaction fee plus \$10 GST for a total cost of \$110. A \$15,000 International share parcel will incur \$300 brokerage plus \$30 GST for a total cost of transaction of \$330, and a \$5,000 share parcel transaction will incur a \$200 transaction fee plus \$20 GST for a total cost of \$220.

Alpha generally receives it's income via a rebate of commission charged by the stockbroking firm used to execute the transaction on your behalf. This is not an additional fee paid by you but is paid out of the commission charged as set out above. Our fees and charges will be discussed with you prior to Alpha executing trades on your behalf.

Your adviser will be remunerated on a commission basis for the services provided to you. Your adviser will be paid a commission of between 40% and 60% per cent of the rebate of commission received by Alpha from the executing broker.

It is noted that Alpha acts as Corporate Advisor to ASX listed companies. In this capacity we may assist them in raising capital for which we may receive a fee paid by the company. Should you acquire shares via Alpha where we are receiving such a fee we will disclose this to you.

Alpha may receive fees, including trailing commissions, on funds invested by you in a cash management accounts or margin lending facilities, maintained through the executing broker or an other service provider. This commission may be up to 0.33% pa of the balance of these accounts operated by you.

As noted previously, in providing services to you, associated financial services are likely to be provided to you by one or more financial service providers (such as by the providers of execution services). The FSG provided by that financial service provider will set out any additional charges which may be made by that financial service provider. In particular, the providers of execution services can impose fail fees and interest charges. You are obliged to settle transactions by the specified times either by the delivery or payment of securities. Failure to effect settlement on time could result in fail fees being imposed. In addition, failure to pay for purchased securities by the specified settlement date may result in interest being charged on the outstanding balance.

### **Associations and conflicts of interests**

Alpha is not controlled or owned by any other provider of financial services such as a fund manager, bank or insurance company.

Alpha does have arrangements with other service providers such as executing brokers as described elsewhere in this FSG. These arrangements are on commercial terms.

Alpha acts as Corporate Adviser to companies. In this regard we may assist them in the raising of capital or prepare and distribute research for their company for which we may receive fees or shares. Should we be acting on behalf of a company and provide you a service in relation to that company we shall disclose the nature of the arrangement.

### **What to do if you have a complaint**

We have a formal client complaint resolution procedure which provides for the independent review and investigation of any complaint which you may about Alpha or its advisors. We endeavor to resolve complaint quickly and fairly.

If you have a complaint about the service provided to you, you should:

- ☒ Contact your adviser and tell him/her about your complaint.
- ☒ If your complaint is not resolved to your satisfaction within 5 days you should write to

The Complaints Manager  
Alpha Securities  
Suite 301, 10 Bridge Street,  
SYDNEY NSW 2000 or  
Telephone: 1300 316 357

You will be notified of our proposed resolution of your complaint within 7 business days of receipt of your complaint.

If you still are not satisfied with the outcome of your complaint, you can contact;

Financial Ombudsman Service Limited  
GPO Box 3  
Melbourne VIC 3001  
Telephone: 1300 780 808  
Facsimile: (03) 9613 6699  
E-mail: [info@fos.org.au](mailto:info@fos.org.au)  
Website: [www.fos.org.au](http://www.fos.org.au)

The Financial Ombudsman Service is an external independent body which facilitates the settlement of complaints between financial service providers and their clients. The service is free to you.

The Australian Securities and Investment Commission can also be contacted on 1300 300 630 to obtain information about your rights.

Alpha has Professional Indemnity (PI) insurance in place which satisfies the requirements of section 912B of the Corporations Act 2001.

### **Personal information**

Privacy is an important issue and we are committed to ensuring full compliance with the requirements of the *Privacy Act 1988*.

Some of the personal information we collect from you will need to be provided to our service providers (such as execution service providers). Apart from those uses, the personal information we collect from you will only be used by us to assist us in providing our services to you.

### Contact Details

Suite 301, 10 Bridge Street,  
Sydney NSW 2000  
Telephone 1300 316 357

Email [info@alphasecurities.com.au](mailto:info@alphasecurities.com.au)  
Website [www.alphasecurities.com.au](http://www.alphasecurities.com.au)