



Nov. 2008

Introduction

This Financial Services Guide (FSG) is an important document designed to assist you in deciding whether to use any of the services offered by Alpha Securities Pty Ltd. (Alpha). It provides you with an understanding of what to expect from Alpha.

Who is Alpha Securities Pty Ltd?

Alpha is a Member of the Financial Ombudsman Scheme, the Australian Securities and Investment Commission and the holder of Australian Financial Services Licence 330757. Alpha can be contacted at Level 2, 22 Pitt St. Sydney NSW 2000.

What financial services do Alpha Provide?

Alpha is authorized to deal and provide financial product advice in:

- Securities
- Derivatives
- Foreign exchange contracts
- Government issued debentures, stocks and bonds
- Interests in managed investment schemes

Your Alpha adviser acts for you when providing these 'authorised services'. In addition, the adviser is able to offer you an on-going monitoring and review service for your investment portfolio.

Alpha will only recommend an investment to you after considering its suitability for your individual investment needs, objectives and financial circumstances. The products we recommend are all selected from an approved list of products carefully researched by independent research experts.

How are any commissions and fees calculated for providing the financial services?

Alpha Securities Pty Ltd offers a range of payment options including fees and commissions on funds placed, or a combination of both methods.

Our calculation of fees and commissions is dependent on the level of service appropriate to the needs of the client. It has many levels of service each providing benefits befitting the clients it is designed to service. Upfront fees are calculated as a percentage of funds invested with a minimum invoice amount dependent on the level of service chosen. Ongoing fees are calculated as a percentage of funds under management, this percentage variable dependent on the level of service chosen. All levels of service, their associated calculations for fees and charges and the ongoing services provided are discussed in the first meeting and subsequently disclosed, prior to implementation of any recommendations.

Transactions attract a 1% brokerage charge subject to a minimum of \$100 plus 10% gst. For example; a \$15,000 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.

Before seeking our advice, you probably have a number of questions you would like to ask about Alpha Securities Pty Ltd. You have the right to ask us about our charges, the type of advice we will give you and what you can do if you have a complaint about our services. Key information is set out in answer to the questions below. If you need more information or clarification, please ask us. This Financial Services Guide is issued

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with the authority of the licensee, Alpha Securities Pty Ltd, holder of AFSL number 330757.

You should also be aware that you are entitled to receive a Statement of Advice whenever we provide you with any advice which takes into account your objectives, financial situation and needs. The Statement of Advice will contain the advice, the basis on which it is given and information about fees, commissions and associations which may have influenced the provision of the advice.

In the event we make a recommendation to acquire a particular financial product (other than securities) or offer to issue or arrange the issue of a financial product, we must also provide you with a Product Disclosure Statement containing information about the particular product which will enable you to make an informed decision in relation to the acquisition of that product.

What additional products and services can Alpha assist me with?

We may also refer you to a suitable adviser should you require advice in respect of:

- Retirement Planning & strategies;
- Superannuation and Rollover advice and strategies;
- Self-managed Superannuation Advice;
- Life, trauma and income protection insurance;
- Gearing Strategies;
- Estate planning advice;

What are the Licensee's obligations under the Anti-Money Laundering and Counter-Terrorism Financing Act?

As a financial service provider, we have an obligation under the Anti-Money Laundering and Counter-Terrorism Financing Act to verify your identity and the source of any funds. This

means that we will ask you to present identification documents such as Passports and driver's licence. We will also retain copies of this information. We assure you that this information will be help securely.

WHEN YOU GET OUR ADVICE

Do I get detailed information about actual commissions and other benefits my adviser gets from making the recommendations?

Yes. You have the right to know about details of commissions and other benefits your adviser receives for recommending investments. We will provide this information to you when we make specific recommendations.

Will you give me advice that is suitable to my investment needs and financial circumstances?

Yes. However, to do so we need to find out your individual investment objectives, financial situation and needs before we recommend any investment to you. You have the right not to divulge this information to us, if you do not wish to do so. In that case, we are required to warn you about the possible consequences of us not having your full personal information. You should read the warnings carefully.

What should I know about any risks of the investments or investment strategies recommended to me?

We will explain to you any significant risks of investments and strategies that we recommend to you. If we do not do so, you should ask us for further clarification.

What information do you maintain in my file and can I examine my file?

We maintain a record of your personal profile that includes details of your investment objectives, financial situation and needs. We also maintain records of any recommendations made to you. If you wish

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to examine your file, you should ask us and we will make arrangements for you to do so. We are committed to implementing and promoting a privacy policy that will ensure the privacy and security of your personal information. A copy of our privacy policy is enclosed for your information. A copy of our privacy policy is available on request.

Can I tell you how I wish to instruct you to buy or sell my investment?

Yes. You may specify how you would like to give us instructions. For example, by telephone, fax or other means. However, in all cases we must receive written confirmation.

Complaints

If you are not happy with the service or advise that you are provided with at Alpha, you are entitled to lodge a complaint. We are committed to providing quality advice to our clients.

Call us on 02 9299 9076, or you can write to us at:

Compliance Manager
Alpha Securities Pty Ltd
Level 2, 22 Pitt St.
Sydney NSW 2000.

If you are still not satisfied with the resolution of any complaint, you can raise your concerns with the Financial Ombudsman Service on 1800 335 405, of which Alpha is a member. The Australian Securities & Investments Commission (ASIC) also has a freecall Infoline on 1300 300 630 which you may use to make a complaint or obtain information about your rights.

Alpha Securities Pty Ltd also confirms that it has arrangements in place to ensure it continues to maintain Professional Indemnity insurance in accordance with

s.912B of the Corporations Act 2001 (as amended).

Contact Details

Should you wish to contact the Licensee for further information please do not hesitate to contact Alpha at:

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