

Financial Service Guide Intermediaries Only



Austock Securities Limited

AFSL No. 244410 - ABN 51 053 513 438

Purpose of the Financial Services Guide

This Financial Services Guide ("FSG") is an important document which we as an Australian Financial Services Licensee are required to give you. This FSG is intended to inform you of certain matters relating to our relationship, prior to providing you with a financial service. The matters covered by the FSG include:

- who we are and how we can be contacted;
- details of the financial products and services Austock Securities Limited ("Austock Securities") ABN 51 053 513 438 provides in order to assist prospective and new retail clients decide whether to obtain financial services from Austock Securities;
- information on remuneration paid to Austock Securities and its advisers; and
- information on our complaints handling process.

It is intended that this FSG should assist you in determining whether to use our services. If you choose to use any of our services you may also receive other documents which you should read carefully.

Information about Austock Securities

Austock Securities is a public company which is owned by Austock Group Limited. Austock Securities was founded in October 1991 and commenced trading in November of the same year.

Austock Securities holds an Australian Financial Services Licence, number 244410, under the Corporations Act and is a Participant of ASX Group ('ASX').

Austock Securities contact details are:

Level 12, 15 William Street
Melbourne VIC 3000

www.austock.com

Financial Services available from Austock Securities

As a stockbroker, Austock Securities is able to deal on your behalf in securities quoted for trading on financial markets operated by a licenced market operator (e.g. ASX) and in other financial products and securities. Austock Securities is also authorised to provide a number of other financial services.

Your adviser

This FSG is sent to retail clients of Austock Securities who deal with us through a financial planner. You should have received from your financial planner a separate financial services guide which details the financial services offered by your financial planner. If you require financial product advice, you should contact your financial planner.

CHESS

When you purchase securities quoted on a licenced market (quoted securities), your shareholding is recorded electronically on the clearing and settlement facility known as CHESS. CHESS is operated by ASX Settlement (a wholly owned subsidiary of ASX) in accordance with the ASX Settlement Rules. Under CHESS, you will not receive a certificate but will receive a holding statement.

Your CHESS holding must be sponsored either by the company that issued your securities (issuer sponsored) or by a broker, such as Austock Securities (broker sponsored). With issuer sponsored holdings, you are issued with a different identification number called a Shareholder Reference Number ("SRN") for each holding. The advantage of broker sponsored holdings is that you have one identification number called a Holder Identification Number ("HIN") for all your holdings.

If you have an issuer sponsored holding and you misplace your SRN, the registry charges a fee for each enquiry about an SRN and we will charge any such fees to your account.

Austock Securities encourages you to be broker sponsored by Austock Securities because it is administratively more convenient when you ultimately sell your securities. If you wish to be broker sponsored by Austock Securities, please contact your financial planner.

How you pay for these services

You will be charged brokerage for each transaction we execute on your behalf. Payments from you are to be by electronic payment or cheque. Austock Securities is unable to accept or pay cash.

If your application for securities in a new issue, privatization or float, is stamped by us and is successful, we receive a lodgement fee from the relevant company or issuer. This also applies in relation to applications for units in managed funds (eg equity trusts). If we act as sub-underwriter or underwriter we will receive a fee for acting in that capacity. All lodgement or other fees payable to us would be disclosed in the prospectus for the issue. You do not face additional charges from us in these circumstances.

Some of our advisers receive a proportion of the brokerage, commission, lodgement fee or underwriting / sub-underwriting fee paid to Austock Securities.

Calculation of brokerage, commission and other charges

Brokerage is calculated as a percentage of the total dollar value of the securities purchased or sold on your behalf. Our brokerage rates are negotiated with your financial planner and are subject to a minimum brokerage charge. You will be advised by your financial planner of the brokerage rates and minimum brokerage charge which your financial planner has negotiated on your behalf.

For a purchase, the brokerage is added to the consideration payable for that transaction. For a sale, the brokerage is deducted from your gross proceeds. All these amounts are specified on the confirmation of sale or purchase which you will receive from Austock Securities.

You will also be charged fail fees and interest if you fail to settle a purchase or sale by the time and date shown on the confirmation.

Referral fees

We may pay an introductory fee or commission rebate to your financial planner for arranging for you to deal through us. Such fees and rebates are negotiated between your financial planner and Austock Securities and may be up to 75% of our charges. Please refer to the financial services guide or statement of advice provided by your financial planner for details of the payments (if any) that they will receive from us.

What information do we maintain about you?

Austock Securities respects and upholds your rights to privacy protection under the National Privacy Principles contained in the Privacy Act 1988. The National Privacy Principles apply to us from their introduction in late 2001.

Austock Group Privacy Policy describes how we manage any personal information we have about you. A copy of that policy accompanies this Guide.

Payment and receipt of funds to your account

If we receive payment from you before settlement, the funds are deposited into our trust account. Sale proceeds are held in our trust account until paid to your account.

Complaints handling

Austock Securities acknowledges that you have the right to complain if you are dissatisfied with the service you receive from Austock Securities. Austock Securities is committed to the efficient and fair resolution of complaints.

1. If you have any complaint about the service provided to you, you should take the following steps:
2. Contact your adviser and tell your adviser about your complaint.

If your complaint is not resolved to your satisfaction within a reasonable time, please contact our Complaints Officer on (03) 8601 2000 or put your complaint in writing and send it to:

The Complaints Officer
Austock Securities Limited
Level 12, 15 William Street
Melbourne VIC 3000

We will try to resolve your complaint promptly and fairly in accordance with our Complaints Policy. You may obtain a copy of our Complaints Policy from our Complaints Officer.

3. If you are unhappy with our response to your complaint, you may raise the matter with the Financial Ombudsman Service (FOS). The FOS toll free number is 1300 780 808.

Contacts

Austock Securities

Level 12, 15 William Street, Melbourne VIC 3000
Phone: 03 8601 2000 Fax: 03 9200 2272

Toll Free: 1800 806 362

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securities@austock.com

Website
www.austock.com