

# Austock Securities Global Markets

Invest globally, transact locally.

SECURITIES | CORPORATE | LIFE | PROPERTY





## Nicholas Perez Mathews

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### Head of Global Markets

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Nicholas has held senior positions within the Australian and UK financial services industry, bringing to Austock Securities over 20 years experience in funds management, institutional equity sales, private wealth and research, 14 years of which were in London working as an Analyst at Morgan Stanley, Investment Manager with NatWest Stockbrokers and Branch Manager Investment Manager for Killik Stockbrokers.

Having relocated to Australia in 2002, Nicholas achievements include Managing Director and co-founder of Oceanic Asset Management launching a UK FSA regulated fund focusing on the natural resources sector. As Fund Manager and Responsible Manager for the Australian Natural Resources UCITS III Fund Nicholas consistently outperformed peer group managed funds and benchmark indices, providing top quartile returns.

Nicholas previously worked as Head of Global IMA at Patersons Securities and Head of Institutional Global Equity Sales & Asset Management at DJ Carmichael Stockbrokers providing advice, portfolio management and dealing in global securities.

As Head of Global Markets at Austock Securities Nicholas manages the dealing, advice, custody, corporate, treasury and portfolio management for institutional and HNW clients in securities listed on exchanges from around the world.

Nicholas qualifications include those from the Chartered Institute for Securities & Investment, Securities & Investment Institute of Australia, Financial Planning Association, Securities & Derivatives Industry Association and Deakin University.

Nicholas is a Chartered fellow member of the Chartered Institute for Securities & Investment, a Fellow member of the Financial Services Institute of Australasia and a Master member of the Stockbrokers Association of Australia Inc SDIA.

# Invest in overseas markets.

Enjoy the experience of international dealing and advice with an Australian full service stockbroker. Austock can assist you with your dealing in overseas securities, exposing you to investment opportunities not available locally.

The Australian stock market represents only approximately two percent of global securities traded by market capitalisation. Furthermore, a few large stocks such as BHP Billiton, Rio Tinto, Telstra and the big four major banks represent about 40% of the value of the stock market; and a number of exciting industries such as technology and pharmaceutical companies are not well represented in Australia.

There are approximately twenty times as many listed securities on global stock markets as on the Australian stock market and global stock markets are approximately sixty times larger by market capitalisation.

Global economies can move in different directions and growth may be greater in some economies than others at various times. Global stocks have historically outperformed the Australian market over the long term, especially when adjusted for currency movements.

Investing only in Australia may mean you miss out on some of the most exciting growth opportunities from around the world. Therefore, by including overseas markets as part of a diversified portfolio, you have the potential to benefit from growth in a greater range of investment opportunities

# Global markets made easy.

Explore how easy it is to deal in international markets from around the world from London to New York whilst Austock takes care of the administration, advice and dealing.

## Key features

- Dealing in overseas shares is no more difficult than dealing in Australian shares
- All trades are settled in Australian Dollars at institutional currency rates
- All dividends and corporate actions are administered for you
- Safe custody of all your international securities
- Portfolio valuations and research reports available
- Direct personal contact with an experienced global markets portfolio manager providing advice
- Exposure to growth economies and industries not available in Australia
- Fees are the same as dealing in Australian shares

## Global Markets

The Global Markets desk provides general advice and dealing in securities listed on exchanges from all around the world.

## Advice

General advice is provided by an experienced portfolio manager.

## Model Portfolio

A global markets model portfolio managed by Nicholas Perez-Mathews provides investors with a list of stocks to invest in to gain direct overseas market exposure.

## Custody

We take care of all the custody and administration. We do not charge any custody fees for using our nominee custodian service for securities listed on the main stock exchanges, as long as they are held within our Austock Securities nominee account. There are no fees for transferring stock to our nominee custody account.

## Settlement

All transactions are automatically settled in Australian dollars at institutional currency conversion rates. You can also settle in another currency, should you prefer, using our multi currency accounts.

## Dividends

All dividend payments are handled by us and converted into Australian dollars at institutional currency conversion rates.

## Corporate Actions

We notify you of any corporate actions that require your instructions.

## Research

We can provide research reports subject to availability, on a request basis.

## Fees

Overseas equity transactions are charged at 1% of the consideration subject to a minimum of \$95 which is negotiable for larger trades or regular trading.



#### **USA**

American Exchange  
NASDAQ  
New York Stock Exchange

#### **Canada**

Toronto Stock Exchange  
Canadian Venture Exchange

#### **South America**

Argentina  
Mexico

#### **United Kingdom**

London Stock Exchange  
AIM  
PLUS

#### **South Africa**

Johannesburg

#### **Europe**

Austria  
Belgium  
Denmark  
Finland  
France  
Germany  
Greece  
Ireland  
Italy  
Luxembourg  
Netherlands  
Portugal  
Spain  
Sweden  
Switzerland

#### **Middle East**

Israel

#### **Asia Pacific**

Australia  
China  
Hong Kong  
Indonesia  
Japan  
Malaysia  
New Zealand  
Philippines  
Singapore

# Implications of investing globally.

Investing globally involves a number of specific risks for Australian resident investors, other than the market risks inherent in all equities markets.

## **Currency risk**

Shares in overseas countries are denominated in the currency of the country in which they are domiciled. The overseas brokers with whom we deal will convert the local currency into Australian dollars and settle in Australian dollars. There may be a time difference between when the trade is executed and the foreign currency conversion takes place, during which time the exchange rate may have moved.

Any underlying shares are also denominated in the foreign currency and you are therefore exposed to the fluctuations in the movement of the currency values of the Australian dollar against that currency. This may increase or decrease the value of your investment in Australian dollar terms, over and above any change in the underlying value of the investment in the local currency.

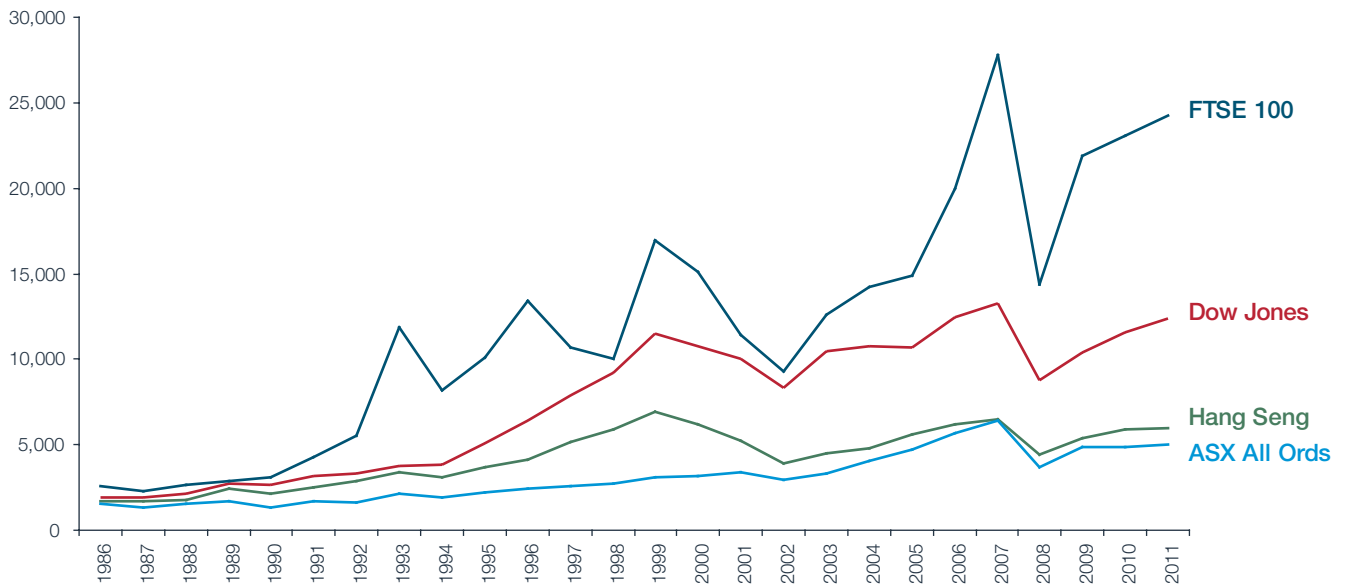
## **Volatility risk**

Some overseas markets and individual shares are more volatile than the Australian market. This may mean that a transaction may not be executed if the price of the share moves quickly. In addition, all orders are generally placed with the overseas broker during Australian business hours for execution when the relevant exchange is open. The share price of the underlying investment may have moved significantly during that time and again the order may not be able to be executed.

## **National Guarantee Fund**

The National Guarantee Fund ("NGF") is a pool of assets that is available to meet valid claims arising from the dealings with Participants of ASX under certain circumstances. The NGF is not available for transactions executed on overseas markets.

## Leading indices performance over 30 years



### Taxation implications

We recommend that you consult with your accountant to obtain advice relating to the taxation implications of investing in overseas markets that are applicable to your particular circumstances. Some examples of issues which require consideration are capital gains tax, imputation systems in other jurisdictions, FIF Rules, interest on margin loans and US estate taxes. In general, for Australian residents, income and capital gains from investments in overseas financial products are generally subject to taxation in Australia.


### Custody Arrangements

Your shares will be held with the custodian of our nominated overseas broker in an omnibus account in the name of the overseas brokers for the account of Austock Securities. We maintain records of your holdings and report those to you periodically.

### US Residents

The service is not available to US Residents.

## Austock Securities Limited

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