

# FINANCIAL SERVICES GUIDE

BLUEMOUNT CAPITAL (SYDNEY) PTY LTD  
ABN 95 098 335 445  
Corporate Authorised Representative

of

BR SECURITIES AUSTRALIA PTY LTD  
ABN 92 168 734 530  
AFSL 456663

Effective Date: 1<sup>st</sup> November 2018

## About Us

BR Securities Australia Pty Ltd (BR) is the holder of Australian Financial Services Licence ("AFSL") number 456663.

Bluemount Capital (Sydney) Pty Ltd (BCS), is an Authorised Representative (number 400409) of BR

This Financial Service Guide (FSG) is designed to assist you in deciding whether to use BCS's services and includes such things as

- who we are
- our services
- how we transact with you
- how we are paid, and
- complaint processes

BCS is the entity providing the AFSL authorized services to you as a retail client.

BCS is an independent private company.

BR is an independent private company owned by the directors of BR.

Contact Details, BR and BCS

BCS Office: Level 32, 200 George St Sydney 2000

Phone: +61 8277 4112

Email: [sydney@bluemountcapital.com](mailto:sydney@bluemountcapital.com)

BR Office: Level 14, 344 Queen Street, Brisbane, QLD, 4000.

Web Pages: <http://www.bluemountcapital.com>

<http://www.brsecuritiesaustralia.com.au>

## What Financial Services are we authorised to provide to retail clients?

BR authorizes BCS to

arrange deals on behalf of retail clients in relation to

- Securities

The distribution of this FSG by BCS is authorized by BR.

BCS's services will be offered under the BCS name.

BCS is also authorized by BR to provide the following services to wholesale clients.

provide general advice in relation to

- Securities
- Managed Investment Schemes including Investor Directed Portfolio Services

arrange deals in relation to

- Securities
- Managed Investment Schemes including Investors Directed Portfolio Services

### [Our dealing service for retail clients](#)

BCS may place on its web page, or email to you, prospectuses for new IPOs from time to time.

You can deal via BCS by accessing the BCS web page, reading the prospectus and applying for shares under the prospectus. BCS representatives authorized to provide this service may fill in the forms for you if you desire.

BCS is not authorized to provide advice to retail investors but may notify you if a prospectus is placed on their web page.

### [How are we paid?](#)

BCS may receive a distribution fee from the issuer for securities initiated via a prospectus available through BCS's web page.

BCS's representatives may advise a company, whose prospectus is available through BCS's web page, and be paid a fee for that advice. This will be disclosed to you when relevant.

### [Associations and Relationships](#)

BR, BCS, its directors and related parties have no associations or relationships with any product issuers.

BCS's representatives may subscribe to securities on offer.

### [Complaints](#)

If you have a complaint about our service you should contact your representative and tell them about your complaint. The representative will follow BR's internal dispute resolution policy, which includes sending you a copy of the policy when required to. If you aren't satisfied with an outcome, you may contact AFCA, see below.

BR is a member of the Australian Financial Complaints Authority (AFCA). AFCA provide fair and independent financial services complaint resolution that is free to consumers.

Website: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

Telephone: 1800931678 (free call)

In writing to: Australian Financial Complaints Authority, GPO Box 3, Melbourne, VIC, 3001.

### [Professional Indemnity Insurance](#)

BR has in place Professional Indemnity Insurance which satisfies the requirements for compensation under s912B of the Corporations Act.