

Financial Services Guide

Fortem Wealth Pty Ltd

ABN 21 615 026 321 Authorised Representative No. 1248947

This Financial Services Guide (FSG) is dated 17/12/2017 and is provided to you by Fortem Wealth Pty Ltd A.C.N 615 026 321 (“**FW**”, **we, our, us**) to inform you of the financial services provided by us and to comply with our obligations as an Authorised Representative of LeMessurier Securities Pty Ltd (“**LeMessurier Securities**”) which is the holder of an Australian Financial Services Licence (AFS Licence No. 296877).

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

- who we are;
- what financial services we provide and the products to which those services relate;
- what our responsibilities are and what type of advice we give;
- how you can instruct us;
- what you can expect to pay for the financial services;
- what remuneration and other benefits may be paid to us, our employees or others;
- what to do if you have a complaint, and how it will be dealt with;
- for what purpose we use your contact data; and
- how you can contact us.

This FSG contains only general information about the services we offer. If you still have any questions after reading this FSG, please contact us. Our contact details are listed at the end of this document.

What other disclosure documents and statements will I receive?

Generally, where we arrange for the issue of a financial product to you, you will receive a **Product Disclosure Statement (PDS)** or other relevant disclosure documents that include information about the product so that you can make an informed decision whether to acquire the product. It would include any relevant terms, significant risks and costs associated with the supply of that financial product.

www.fortemwealth.com.au | Tel 02 8378 1885 | Fax 02 8057 5525

Suite 401 | Level 4 | 68 Alfred Street, Milsons Point, NSW 2061

How you can instruct us and your obligations?

We will accept order instructions via telephone, email or facsimile.

You must check and confirm with us that orders sent via fax or email, have in fact been received by us.

You must review any confirmation or statement we send to you immediately upon receipt to ensure its accuracy and report any discrepancies to us.

Who are we and what services are we authorised to provide?

FW (AR Number 1248947) is responsible for the Financial Services described in this guide. The following individuals are authorised by LeMessurier Securities as Sub-Authorised Representatives of FW to provide financial services through FW.

Name	AR Number
Mr Alexander Perry	464 829
Mr Jacob Michael Pritchard	124 8947
Mr Lachlan Callaghan	1286614
Mr Aidan Lane	1286616

FW and the individuals named above are authorised representatives of LeMessurier Securities Pty Ltd, AFS Licence Number: 296877.

FW is a representative of, and acts on behalf of, LeMessurier Securities. FW does not act as a representative of any other licensee in relation to the services or products it provides.

FW is authorised by LeMessurier Securities to provide general advice and deal in the following classes of financial products to retail and wholesale clients (within the definition of the Corporations Act):

- derivatives;
- managed investment schemes including IDPS and;
- securities.

FW provides general advice in relation to securities, derivatives, managed investment schemes and in-house trade recommendations. If you choose to act on the information provided to you by FW you will need to open an account with a brokerage firm, which FW may assist you with by referring you to one of its affiliated brokers.

LeMessurier Securities is an investment and financial services house with extensive experience in servicing the needs of both private investors and corporate clients. LeMessurier Securities has an extensive suite of products to service the needs of private clients and institutional investors.

What information do we offer to you, as our client?

We can offer you factual market data and information, including general advice, regarding those products and services our authorisation permits us to provide. The products on which we may provide this information include:

- Securities and Exchange-Traded Options traded on local and international exchanges;
- managed investment schemes including IDPS.

What are our responsibilities and what type of advice do we give?

We provide **general advice** and information regarding financial products and services that can be dealt through us. This information or advice does not take into account your personal and financial circumstances, needs and objectives and because of that you should, before acting on the advice, consider the appropriateness of the advice having regard to your personal and financial circumstances, needs and objectives.

It should be noted that if you open an account with us you will also be requested to provide some information relating to your financial circumstances and risk profile. This information is collected so that we can:

- receive some reassurance that you will be able to finance any trading that you enter into and that your attitude to risk is comparable to that of the financial products you intend to trade; and
- identify who you are as required by the Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (AMLCTF Act 2006).

Details of Associations and Relationships

FW has a relationship with its affiliated brokers which are providers of execution, clearing and settlement services and portfolio administration services. These relationships in no way influence the provision of financial services by FW to you.

The costs, remuneration and other benefits that may be receive by us, our employees and others?

Subscription Fees:

Subscription Period	Australian Equities	U.S Equities	Combined (AU & US)
1 Year	\$985	\$985	\$1,408
3 Years	\$2,120	\$2,120	\$4,240
5 Years	\$3,080	\$3,080	\$6,160

(all subscription fees are inclusive of GST and may be discounted at the discretion of management)

The information in this section is subject to change and does not include information in relation to taxes or duties that you may be required to pay in relation to an investment. Unless otherwise stated, all fees, charges, commissions and benefits disclosed in this FSG are exclusive of the Goods and Services Tax (GST).

Transaction Fees

FW (through third party service providers) will arrange, as authorised by you, for commissions to be debited from your account when a transaction has been completed in consideration for services rendered. The amount of commission can differ greatly depending on the services provided. Generally, the commission may be charged on a per trade basis or on a cash under management basis. The following ranges are an indication of the commissions that may be charged:

Per Trade Basis

Product	Minimum Commission	Maximum Commission
Equities	\$33 per trade	2% of trade value
Options	\$7.50 per trade	\$100 per trade
Managed Funds	0.25% of funds invested	2% of funds invested

(all transaction fees are inclusive of GST and may be discounted at the discretion of management)

The actual commissions and charges payable will depend upon the relevant service provided by FW. Full details of commission payable by you in the Client Agreement entered into between FW and you.

Included within the commission will be any administration or agents' execution fees. In addition to these commissions, FW may require you to reimburse it for any fees levied on LeMessurier Securities by a market operator or clearing and settlement facility in respect of transactions entered into by LeMessurier Securities for you.

FW will receive a percentage of the fees received by LeMessurier Securities and LeMessurier Securities will retain the balance.

Our employees may, if authorised by you, be remunerated on a commission basis for the services provided to you. Their remuneration is included in the commissions discussed above.

Where your business has been referred to FW or your trade instructions require the use of a third party, FW may be required to share a percentage of the commission or other charge with other parties, as disclosed and authorised by you in the Client Agreement entered into between FW and you.

If you have a complaint, how it will be dealt with?

If you wish to make a complaint, the CEO (Mr Alexander Perry) can be contacted on 0430 216 424 or by email a.perry@fortemwealth.com.au. We will try to resolve your complaint quickly and fairly.

In the event that we are unable to resolve any issue or complaint you can contact LeMessurier Securities who has formalised client complaint resolution procedure in place to resolve any complaints or concerns you may have about the service provided to you. These should be directed to Compliance and Risk, LeMessurier Securities Pty Ltd, GPO Box 4249, Sydney, NSW 2001 or by phone on 1300 523 753 or email hello@lemsec.com.

All complaints are reviewed and investigated by our Compliance Officer. If you make a complaint, our first response will be to contact you to discuss the complaint and to register a formal record of such complaint.

If you are dissatisfied with our response, you may contact the Australian Financial Complaints Authority (AFCA). AFCA provides a conciliation and arbitration service to assist consumers in the resolution of their complaints. Their services are free to complainants. Their website is www.afca.org.au and their contact number is 1300 931 678. You may also write to them at AFCA, GPO Box 3 Melbourne, Victoria 3001 or email at info@afca.org.au.

LeMessurier Securities as the authorising licensee for FW holds Professional Indemnity Insurance cover for the activities conducted under its AFS licence and continues to maintain Professional Indemnity Insurance that generally satisfies the requirements of s912B of the Corporations Act Regulatory Guide RG126.

For what purpose do we use your contact data.

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Privacy is an important issue for us and we are committed to ensuring full compliance with Privacy Act requirements.

The personal data that we collect from you will only be used by us to assist in the planning of marketing proposals, education seminars, provision of general product advice to clients and as permitted under the AMLCTF Act 2006.

How you can contact us?

Telephone: 0430 216 424

Mail: Fortem Wealth
Suite 401, Level 4
68 Alfred Street
Milsons Point
Sydney, NSW 2061

In person: Suite 401, Level 4
68 Alfred Street
Milsons Point
Sydney, NSW 2061

Website: www.fortemwealth.com.au

Email: a.perry@fortemwealth.com.au