



**Sharemarket College**  
THE POWER OF KNOW HOW

# **Financial Services Guide**

**Issued by The Sharemarket College**  
**ABN 27 009 247 214**  
**AFSL 331635**

**26 July 2010**

## Introduction

As the holder of an Australian financial services licence, The Sharemarket College Pty Ltd ABN 27 009 247 214 (**SMC, we or us**) is required to provide you with a Financial Services Guide (**FSG**). This FSG is an important document and is intended to inform you of certain basic matters regarding our relationship, prior to providing you with a financial service and is designed to assist you in determining whether to use any of our services.

## The Purpose of this FSG

This FSG provides you with information about SMC and is designed to assist you in determining whether to use any of the financial services we offer.

This FSG includes information in relation to:

- who we are and how you transact with us and our contact details;
- what services and types of products we are authorised to provide;
- the nature of any charges you are liable for and SMC, their subsidiaries, related bodies corporate and any other relevant persons will be remunerated for the services we offer;
- any relationships SMC has with any other organisation that might influence us in providing the services; and
- how we deal with complaints against us.

## Information about The Sharemarket College Pty Ltd & our services

The Sharemarket College Pty Ltd is the holder of an Australian Financial Services Licence Number:331365 and is authorised to provide general financial product advice and deal in certain financial products, including securities, derivatives, government securities, deposit products, interests in managed investment schemes, foreign exchange contracts and standard margin lending facilities to retail and wholesale clients. We are responsible for the services we provide and do not act on behalf of any other financial services licensee.

SMC is a diversified financial educational services firm bringing a new level of knowledge, technology and independence to Australian traders and investors. The company provides the following services:

- dealing services in derivatives including Contracts for Difference, Margin FX contracts and Futures. Clients open accounts with a third party provider and may execute trades through software known as the 'VTP2000' or third party platforms
- general financial product advice through a research newsletter containing trading recommendations for securities and derivatives which will be published on a daily basis. The report is based on technical analysis and is aimed at the retail investor/trader;
- general financial product advice through its education services to clients comprising of nationally recognised courses or ad hoc seminars, workshops and events; and
- general financial product advice through the distribution of two analysis software products owned by third parties being MDS and Saxo Bank. Both provide fundamental and technical information on securities and derivatives and produce a securities report based on parameters and formulas entered or selected by the user.

More information on the products and services offered by SMC are available on our website at [www.smc.edu.au](http://www.smc.edu.au)

## Personal Financial Advice

First, and most importantly, you should note that we do not provide you with “personal advice” as defined by the Corporations Act (**Act**) and ASIC. Accordingly, we will not take into account your “objectives, financial situation and needs” (**Objectives**) (as defined by the Act and ASIC) and therefore this FSG has been prepared without taking into account those Objectives. You will not be provided with a Statement of Advice. Accordingly you should carefully consider the appropriateness of our services with regard to your particular circumstances and we recommend you obtain professional advice prior to making your own investment choice.

## What should I know about the risks of trading or investing?

Trading or investment in all financial products and markets entail risk of loss of capital (and in some cases, losses in excess of capital invested), particularly where such products are leveraged or subject to margin calls. Please ensure that you obtain and read the applicable disclosure documents, and obtain independent professional advice PRIOR to investing or trading, to ensure you understand the key features and risks of each product, and the suitability of trading for your personal financial circumstances.

## How We Can Be Contacted

You can contact us in person or via telephone, facsimile or email.

**The Sharemarket College Pty Ltd** ABN 27 009 247 214

Telephone: **(07) 3222 5300**

Facsimile: **(07) 3222 5353**

Email: [info@smc.edu.au](mailto:info@smc.edu.au)

Address: **Level 7, 241 Adelaide Street  
Brisbane QLD 4000**

## Professional Indemnity Insurance

In compliance with s912B of the Corporations Act 2001 (Cth) and ASIC RG 126, we maintain professional indemnity insurance to cover financial products and services we provide, including any claims in relation to the conduct of our former representatives/employees.

## Fees, Charges and How We Are Paid

SMC is remunerated directly through the fees we charge you for the following products and services:

### **SMC Education Courses**

The education and training courses and workshops conducted by SMC are combined with mentoring and other support systems and fees range from \$1100 to \$30,000, depending on the features included in the package selected.

### **SMC Research**

The fee charged by SMC for access to our research subscription service ranges between \$600 and \$1000 per calendar year. Fees can be paid on a monthly, quarterly or annual basis.

### **Trading commissions**

In respect of any trading you undertake with the third party clearing/executing broker, SMC is also remunerated indirectly with a percentage of the commissions or brokerage fees you pay to them. The commission rate charged to you by the third party provider will vary between products, and will be impacted by trading volume and transaction size, and will be advised to, and agreed with, you directly by the provider prior to trading. SMC does not hold client monies nor do we operate omnibus accounts for client dealings.

### **Employee remuneration**

All employees of SMC receive a salary. They may also be entitled to a performance based bonus or commission on sales.

### **Referral fees**

SMC may provide you with, or recommend, financial products and services from either related or non-related product providers, and may receive a commission payment from such product providers where you utilise one of their products or services. In these cases, the amount or the method by which the commission is calculated will be supplied to you at that time, and are available upon request.

### **Personal Information**

The privacy of your personal information is important to us. Any personal information collected will be handled in accordance with our Privacy Policy. Our Privacy Policy details how we comply with the requirements of the Privacy Act in the handling of your personal information. A copy of that policy can be obtained by visiting our website.

### **Dispute Resolution Process**

We are committed to providing a high standard of client service and to maintaining our reputation for honesty and integrity. If our level of service has failed to meet your expectations we would like you to tell us about your concerns. Our complaint handling process is designed to ensure that your concerns are treated seriously and that your complaint is addressed promptly and fairly.

If you have any complaints about the service you have received from SMC, or any aspects of your dealings with us, you should refer the matter to us contacting us by telephone on 07 3225300 or by email to [info@smc.edu.au](mailto:info@smc.edu.au)

If your complaint is not satisfactorily resolved within three business days after you first notified us, please put your complaint in writing addressed to:

The Compliance Officer  
The Sharemarket College Pty Ltd  
PO Box 71, Brisbane QLD 4001

The Compliance Officer will discuss your complaint with the relevant personnel and prepare a response. If, after 45 days from the time you first notified SMC of your complaint, and your complaint is not resolved to your satisfaction, then you have the right to proceed with your complaint to:

Financial Ombudsman Service Limited (**FOS**)  
GPO Box 3  
Melbourne VIC 3001  
Telephone: 1300 780 808  
Facsimile: (03) 9613 6399  
[www.fos.org.au](http://www.fos.org.au)

The Australian Securities and Investments Commission (ASIC) also has an Infoline on 1300 300 630 which you may use to make a complaint and obtain information about your rights.