



FINANCIAL SERVICES GUIDE

BARCLAY WELLS LIMITED

NOVEMBER 2022

1. This Financial Services Guide (“**FSG**”) is issued by Barclay Wells Limited AFSL No. 235070. In this FSG, Barclay Wells Limited will be referred to as “**we**”, “**us**” or “**our**”.
2. Our contact details are as follows:

Barclay Wells Limited
PO Box 2007, Subiaco PO, WA 6904
T: +61 (08) 6380 3333
E: info@barclaywells.com
3. This FSG has been given to you so as to inform you about our products and services and the fees that we may charge. It is designed to assist you in deciding whether to use any of the services that we offer. This FSG contains information about remuneration that may be paid to us and to any other relevant persons in relation to the services that we offer. It also contains information about how complaints about us are dealt with.
4. When we provide financial services to you we may give you the following documents:
 - (1) a Statement of Advice (“**SOA**”) – on the first occasion where we provide personal financial product advice to you and thereafter in some circumstances we will provide a SOA to you. A SOA will set out our advice and disclose various matters to you such as information about fees and potential conflicts of interest; and

(2) a Product Disclosure Statement (“**PDS**”) – when we recommend some types of financial products to you we must provide you with a PDS. A PDS is a document that provides detailed information about a financial product so as to assist you in making a decision about whether you should acquire that financial product.

5. You may provide instructions to us:

- (1) in person;
- (2) by way of a telephone conversation; or
- (3) by way of electronic means of communication such as e-mail or a SMS message but an instruction that is provided by an electronic means will not be taken to have been received by us until you have received a confirmation of receipt.

6. Under our Australian Financial Services Licence we are authorised to provide the following financial services (“**the Authorised Services**”):

- provide financial product advice for the following classes of financial products:
 - (i) deposit and payment products limited to:
 - (A) basic deposit products;
 - (B) deposit products other than basic deposit products;
 - (ii) derivatives;
 - (iii) general insurance products;
 - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (v) life products including:
 - (A) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (B) life risk insurance products as well as any products issued by a Registered Insurance Company that are backed by one or more of its statutory funds;
 - (vi) interests in managed investment schemes excluding investor directed portfolio services;
 - (vii) interests in managed investment schemes limited to:
 - (A) MDA services;
 - (viii) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
 - (ix) securities;
 - (x) standard margin lending facility; and
 - (xi) superannuation;
- deal in a financial product by:
 - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:

- (A) derivatives;
 - (B) interests in managed investment schemes limited to:
 - (1) own managed investment scheme only;
 - (2) MDA services; and
 - (C) securities;
 - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - (A) deposit and payment products limited to:
 - (1) basic deposit products;
 - (2) deposit products other than basic deposit products;
 - (B) derivatives;
 - (C) general insurance products;
 - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
 - (E) life products including:
 - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
 - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
 - (F) interests in managed investment schemes excluding investor directed portfolio services;
 - (G) interests in managed investment schemes limited to:
 - (1) MDA services;
 - (H) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
 - (I) securities;
 - (J) standard margin lending facility; and
 - (K) superannuation; and
 - (iii) underwriting:
 - (A) an issue of securities; and
 - (c) provide the following custodial or depository services:
 - (i) operate custodial or depository services other than investor directed portfolio services;
- to retail and wholesale clients.

7. We act on our own behalf when we provide the Authorised Services.
8. From time to time we may provide corporate advisory services to the issuers of securities in circumstances where this relationship might reasonably be expected to be capable of influencing us in providing the Authorised Services with respect to those securities.
9. When we provide further advice to you may request a record of that advice ("**ROA**") where we have not already provided a ROA to you. The request may be made in any of the ways that we will accept instructions from you and we must comply with your

request. You may request that a ROA be provided to you at any time within 7 years of when the further advice was provided.

10. If you are dissatisfied with any aspect of the services that have been provided to you please call or contact by e-mail:

The Compliance Manager
Barclay Wells Limited
T: (08) 6380 3333
E: patrick@barclaywells.com

Your complaint will then be dealt with in accordance with our internal dispute resolution processes.

If you are dissatisfied with the outcome of our dispute resolution processes you may make a complaint to the Australian Financial Complaints Authority. Its contact details are as follows:

T: 1800 931 678
W: www.afca.org.au
E: info@afca.org.au
Mail: GPO Box 3, Melbourne VIC 3001

11. We hold professional indemnity insurance which satisfies the requirements for compensation arrangements under s912B of the Corporations Act.
12. When you buy or sell securities through us, your order will be executed by FinClear Services Pty Ltd (“**FinClear**”). FinClear will charge you brokerage with respect to each order. It will retain some of that brokerage and pay the remainder to us. Of the total brokerage charged, approximately 50% will be paid to your adviser and we will receive the remainder less the fees charged by FinClear. Our standard brokerage rate is 1% of total trade value plus GST, with a minimum brokerage fee of \$100 plus GST. Other rates may be negotiated with your adviser.
13. Should you subscribe for securities by way of an initial public offering (“**IPO**”) or by way of some other form of fundraising transaction the fee that will be received by us will be disclosed to you. Of this fee, approximately 50% will be paid to your adviser and the remainder will be retained by us. This fee will not be deducted from the amount invested by you. Fees payable to us with respect to IPOs or other fundraising transactions are paid to us by the company conducting the transaction.