



## Financial Services Guide

### SIMPLY WALL STREET PTY LTD

ABN 89 600 056 611      Authorised Representative No. 467183

This Financial Services Guide (FSG) is dated 23 November 2020 and is provided to you by Simply Wall Street Pty Ltd A.C.N. 600 056 611 ("SIMPLYWALL<sup>ST</sup>", we, our, us) to inform you of the financial services provided by us and to comply with our obligations as an Authorised Representative of Sanlam Private Wealth Pty Ltd ("Sanlam Private Wealth") which is the holder of an Australian Financial Services Licence (AFS Licence No. 337927).

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?

You will not be provided with any personal financial product advice from SIMPLYWALL<sup>ST</sup>. Any advice we provide to you is general advice only and does not take into account your specific needs or objectives. All of our commentary, statements of opinion and recommendations in relation to financial products have been prepared without taking into account your personal objectives, financial situations or needs. It is up to you to decide whether or not you want to use our services, and if you need assistance or advice in this regard, you should consult a suitably qualified financial adviser. You will not receive a Statement of Advice from SIMPLYWALL<sup>ST</sup>.

#### How will you communicate with me?

You can get in touch with us through the contact details at the end of this FSG or our website.

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

SIMPLYWALL<sup>ST</sup> (AR Number 467183) is responsible for the Financial Services described in this guide.

SIMPLYWALL<sup>ST</sup> and its employees and directors are authorised representatives of Sanlam Private Wealth Pty Ltd, AFS Licence Number: 337927.

SIMPLYWALL<sup>ST</sup> is a representative of, and acts on behalf of, Sanlam Private Wealth. SIMPLYWALL<sup>ST</sup> does not act as a representative of any other licensee in relation to the services or products it provides.

SIMPLYWALL<sup>ST</sup> is authorised by Sanlam Private Wealth to provide general advice in securities to retail and wholesale clients (within the definition of the Corporations Act).

SIMPLYWALL<sup>ST</sup> provides its customers access to financial data and analysis in the form of easy to understand visual reports.

Sanlam Private Wealth is an investment and financial services house with extensive experience in servicing the needs of both private investors and corporate clients. Sanlam Private Wealth 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 analysis, 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 traded on local and international exchanges;
- Portfolios of securities; and
- Market, industry or index averages at the securities level.

#### **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.

#### **Details of Associations or Relationships**

SIMPLYWALL<sup>ST</sup> has a relationship with S&P Global Market Intelligence, or other entities as amended from time to time, which is a global financial data provider. This relationship in no way influences the provision of financial services by SIMPLYWALL<sup>ST</sup> to you.

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

There are a number of plans available in order to use our services, which will be updated in this FSG and our website from time to time. As at the date of this FSG, our standard plans are as set out in the table below.

	<b>Learner Plan</b>	<b>Investor Plan</b>	<b>Pro Plan</b>
Price	Free	\$174 per annum*	\$480 per annum*
Company Report Views	10 per month	unlimited	Unlimited
Number of Portfolios	1	3	12
Transactions in a Portfolio	6 companies	unlimited	unlimited

\* all fees are inclusive of GST in Australia and billed annually

Our directors and employees who provide the financial services described in this FSG are remunerated by way of salary and other employee benefits.

Where your business has been referred to SIMPLYWALL<sup>ST</sup>, SIMPLYWALL<sup>ST</sup> may be required to share a percentage of the Subscription Fee with other parties, as disclosed and authorised by you in the Agreement entered into between SIMPLYWALL<sup>ST</sup> and you.

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

If you wish to make a complaint, the Chief Executive Office, Alistair Bentley, can be contacted on (0) 479 010 808 or by email [compliance@simplywallst.com](mailto:compliance@simplywallst.com). 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 Sanlam Private Wealth 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 the Compliance Manager (Mrs Amanda Roberts) can be contacted on (03) 8640 5508 or by email [compliance@privatewealth.sanlam.com.au](mailto:compliance@privatewealth.sanlam.com.au).

All complaints are reviewed and investigated by our Compliance Manager. 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, despite our best efforts, you believe your complaint has not been satisfactorily dealt with, we offer the use of an independent industry arbiter, namely, the Australian Financial Complaints Authority (**AFCA**). Sanlam Private Wealth has agreed not to contest a final resolution from AFCA.

You can contact AFCA by writing to:

#### **Australian Financial Complaints Authority**

GPO Box 3  
Melbourne VIC 3001  
Toll Free: 1800 931 678  
Email: [info@afca.org.au](mailto:info@afca.org.au)  
Website: [www.afca.org.au](http://www.afca.org.au)

Sanlam Private Wealth as the authorising licensee for SIMPLYWALL<sup>SI</sup> 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?**

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 and our authorising licensee?**

	<b>Simply Wall Street Pty Ltd</b>	<b>Sanlam Private Wealth Pty Ltd</b>
<b>Telephone:</b>	(0) 479 010 808	(02) 8245 0500
<b>Mail or in person:</b>	Suite 24, 8-24 Kippax St, Surry Hills NSW 2010	Level 2, 33 York St, Sydney NSW 2000
<b>Website:</b>	<a href="http://simplywall.st">simplywall.st</a>	<a href="http://www.sanlamprivatewealth.com.au">www.sanlamprivatewealth.com.au</a>
<b>Email:</b>	<a href="mailto:compliance@simplywallst.com">compliance@simplywallst.com</a>	<a href="mailto:compliance@privatewealth.sanlam.com.au">compliance@privatewealth.sanlam.com.au</a>