



FINANCIAL SERVICES GUIDE

Ocean Asset Research & Management Pty Ltd

Corporate Authorised Representative of HLK Group Pty Ltd

AFSR - 001276332

AFSL – 435746

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1. Issue Date

This Financial Services Guide (“FSG”) is dated 1st of June 2019 and replaces all previous versions.

2. Purpose and Contents of this FSG

This FSG is an important document and is designed to provide you with important information regarding our services to consider before deciding whether to use our financial services or products. The FSG is designed to provide you with an understanding of what to expect from our relationship and includes the following:

- who we are and how you can contact us
- who is my adviser
- the financial services we are authorised to provide
- the costs of our services, how we are remunerated for these services and how we pay our representatives
- any (potential) conflicts of interest we may have and
- our internal and external dispute resolution process

If you choose to use any of our financial services and products, you may also receive other important documents. These documents may include a statement of advice and product disclosure statements.

If you would like further information on any of these matters, please ask us.

3. Name of Service Provider and Contact Details

The authorising licensee is HLK Group Pty Ltd ABN 93 161 284 500 (“HLK”), and the Principal Contact there is Jason Holdsworth, Director/Responsible Manager.

HLK Group Pty Ltd
Suite 804, 3 Spring Street
Sydney NSW 2000
Tel: 1300 669 605
Email: info@hlkgroup.com.au
Web: www.hlkgroup.com.au

4. Australian Financial Services License (“AFSL”) details & Financial Services provided

HLK holds an AFSL [Number 435746] and is authorised to deal in and provide general and/or personal financial product advice in relation to the following:

- deposit and payment products
- derivatives
- foreign exchange contracts
- debentures, stocks or bonds issued or proposed to be issued by a government
- interests in managed investment schemes limited to Managed Discretionary Account service
- securities

to retail and wholesale clients.

5. Method of providing financial services

Ocean Asset Research & Management Pty Ltd provides financial product advice of securities via our website. Subscriptions to our online service may be purchased **here**.

You may contact us in the following way:

- in writing via **email**
- via our website through our **contact us** page

6. Who is My Advisor

HLK has authorised Corporate Authorised Representatives (Companies) and Authorised Representatives (Individuals) to provide financial services. As the licensee, HLK is responsible for the advice you receive from our advisers and us.

The details of your Corporate Authorised Representative are:

Name: Ocean Asset Research & Management Pty Ltd (“Ocean”)
ACN: 632 331 321
AFSR no: 001276332
Address: Level 2, Piccadilly Court, 222 Pitt Street, Sydney NSW 2000
Email: hello@oceanasset.com.au

Ocean Asset Research & Management Pty Ltd is authorised, as well as its nominated representatives by HLK to provide general financial product advice in relation to the following:

- securities

to retail and wholesale clients.

To the extent that we authorise our representative to do so, your adviser can help you to apply for the financial products referred to above and can also give you financial product advice in relation to them. If your adviser is unable or unwilling to provide you with advice or services in respect of certain products, the adviser will refer you to another representative of HLK, who should be able to assist you.

7. Nature of Advice

General financial advice

There may be times we offer you general financial advice. You should note that general financial advice does not relate specifically to you and therefore may not be appropriate to your particular financial needs, objectives and financial circumstances. You need to take this into account before deciding whether or not to act on it. This FSG contains general information. If you have further questions after reading it please contact us.

We will not give you personal advice in our regular updates, research reports or marketing material, when you visit our website, or contact our Client Services team.

8. Documentation

Ocean will provide clients with the following documentation where applicable:

Factual information

Ocean can provide you with factual information and research.

Product Disclosure Statements

If we make a recommendation for you to acquire a particular financial product, you should also receive a **Product Disclosure Statement** which contains important information regarding the features, benefits, risks

and fees applicable to investment in such product, and should be read carefully to enable you to make an informed decision about whether to acquire or utilise such products.

9. Professional Indemnity Insurance

In compliance with s912B of the Corporations Act 2001 (Cth), ASIC Corporations (Managed Discretionary Account Services) Instrument 2016/968 and ASIC RG 126, and subject to the terms and conditions we maintain Professional Indemnity Insurance to cover the financial products and services we and our Corporate Authorised Representatives / Individual Representatives / Employees provide, including any claims in relation to the conduct of our former representatives/employees.

10. Our record-keeping obligations

HLK will seek to ensure that comprehensive and accurate records of client profiles, together with all advice/recommendations provided, are properly maintained.

11. Remuneration/commission/benefits

Ocean Asset Research & Management Pty Ltd offers the Model Portfolio Membership, which is an online subscription-based service. The subscription provides members with access to subscriber-only pages on our website as well as regular updates via email. The subscriber-only website pages include access to features such as our current portfolio holdings, all trades, performance metrics and our trading diary.

The standard cost of a one-month subscription is \$49.5, payable at the time of subscription and may be purchased **here**. Paid subscriptions automatically renew monthly, until you notify Ocean Asset Research & Management of your decision to terminate your subscription.

All prices are in AUD and include GST for Australian Residents. You can find Terms and Conditions **here**. Pricing may change from time to time according to marketing campaigns.

12. Disclosure of any relevant conflicts of interest

HLK will advise you of any material interest that could reasonably be expected to influence our recommendation of a financial product to you either, verbally or within an SOA or ROA. We manage, and will clearly disclose any conflicts that we believe may influence our advice.

13. Dispute Resolution

HLK has an internal dispute resolution process in place to resolve any complaints or concerns you may have, quickly and fairly. Any complaints or concerns should be directed to the Complaints Officer (by telephone, facsimile, or letter) at the address and telephone numbers provided in Section 3 of this FSG, or by email to compliance@hlkgroup.com.au.

We will provide acknowledgement of receipt of written complaints within 5 business days, and seek to resolve and respond to complaints within 30 business days of receipt. We will investigate your complaint, and provide you with our decision, and the reasons on which it is based, in writing.

If an issue has not been resolved to your satisfaction, you can lodge a complaint with the Australian Financial Complaints Authority, or AFCA. AFCA provides fair and independent financial services complaint resolution that is free to consumers.

AFCA

GPO Box 3, Melbourne, VIC, 3001

Telephone: 1800 931 678

Website: <https://www.afca.org.au/>

Email: info@afca.org.au

14. Privacy

HLK Group Pty Ltd respects your right to the privacy of your personal information. Any personal information provided by you to HLK Group will be handled in accordance with our privacy policy. Our privacy policy details how we comply with the requirements of the Privacy Act 1988 (Cth) in the handling of your personal information.

A copy of that policy can be obtained by visiting the HLK Group website at www.hlkgroup.com.au or asking your adviser.

15. Anti-Money Laundering and Counter Terrorism Finance Act

As a financial service provider, we have an obligation under the Anti-Money Laundering and Counter Terrorism Finance Act to verify your identity and the source of any funds. This means that we will ask you to present identification documents such as passports and driver's license. We will also retain copies of this information. We assure you that this information will be held securely. We cannot provide you with services if you are unwilling to provide this information.