financial services guide

Licensee

Rise Financial Pty Ltd as trustee for the Thompson Family Trust
(AFSL: 311718, ACN: 123 540 027)

25 Michell St. Monash ACT 2904
www.risefinancial.com.au

Purpose of this FSG

This FSG will help you decide whether to use the services that we offer. It contains information about:

- The services we offer and their cost
- Any conflicts of interest which may impact the services
- How we are remunerated
- How we deal with complaints if you are not satisfied with our services.

Independent Financial Advice

We provide independent financial advice which means we are solely remunerated on the fees you pay. We do not receive commissions or any other benefits from product providers or any other third parties.

Our services

We provide services in the following areas:

- Superannuation
- Retirement planning
- Personal risk insurance
- Portfolio management
- Managed investments
- Securities (direct shares)
- Margin lending

We provide three different levels of service (steps), explained on the next page.

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Step 1 Financial Check-Up ($550)

This is our introductory level service which provides you with a projection of your position at retirement. It will also introduce ideas and strategies which may improve your position.

This is a general advice service which means we leave it to you to assess which strategies are best suited to your circumstances. It is provided through a consultation which typically lasts about an hour.

Step 2 Statement of Advice ($3,300)

This is our personal advice service. We will listen to you to understand your objectives and circumstances. We will collect all relevant information and ask questions to make sure we provide advice that is in your best interests.

Our advice will be explained thoroughly and documented in a Statement of Advice (SoA) which you can take away and read.

The SoA is the financial plan for the client and will explain the basis for our advice, the main risks associated with the advice, the cost to you of implementing the advice and the benefits we receive.

We will also provide you with Product Disclosure Statements where we recommend a financial product other than securities. These contain information to help you understand any financial product we recommended.

At all times you are able to contact us and ask questions about our advice and the products we recommend.

Step 3 Wealth Management Service ($4,950 per year)

This service will keep your financial plan up to date for changes in your circumstances, changes in the law and changes in the economy and products.

We will meet with you at least once a year. Our advice will typically be documented in a Statement of Advice (SoA).

Providing Instructions

You can provide instructions to us in writing, via phone or via email. In some cases, we may require you to provide signed instructions.

Adviser Remuneration

Phil Thompson is the owner of the practice. He is remunerated through the profits that the practice makes.

Emma McKenzie is an employee of the practice and is paid a salary. Emma also receive 50% of the fees (ex-GST) paid by the clients that she introduces to the practice.

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Making a Complaint

We endeavour to provide you with the best advice and service at all times. If you are not satisfied with our services, then we encourage you to contact us. Please call us, send us an email or put your complaint in writing to our office.

If you are not satisfied with our response, then you can refer your complaint to the Australian Financial Complaints Authority. You can contact AFCA on 1800 931 678 or www.afca.org.au. AFCA provides a fair and independent complaint resolution service which is provided to you free of charge.

Rise Financial holds Professional Indemnity insurance which satisfies the requirements for compensation arrangements under section 912B of the Corporations Act. It covers the financial services provided by current and past representatives.

Your Privacy

We are committed to protecting your privacy.

We have a Privacy Policy which sets out how we collect, hold, use and disclose your personal information. It also sets out how you can access the information we hold about you, how to have it corrected and how to complain where you are not satisfied with how we have handled your personal information.

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