

## Financial Services Guide

### Argo Service Company Pty Ltd

ABN 60 603 367 479 AFSL 470477

Date 14 October 2019



#### **Purpose and Contents of this Financial Services Guide (FSG)**

This FSG is issued by Argo Service Company Pty Ltd (ASCO), ABN 60 603 367 479. It is designed to assist retail investors in deciding whether to use any of our financial services, by including important information such as:

- Who we are;
- How you can contact us;
- What services we are authorised to provide;
- How we are remunerated for these services; and
- Our internal and external dispute resolution process.

#### **Who is ASCO?**

ASCO is a wholly owned subsidiary of Argo Investments Limited. ASCO is based in Adelaide and has an office in Sydney. Its contact details are:

Level 25, 91 King William Street  
Adelaide SA 5000

Telephone: (08) 8210 9500

Facsimile: (08) 8212 1658

Level 37, 259 George Street  
Sydney, NSW 2000

Telephone: (02) 8274 4700

Facsimile: (02) 8274 4777

Email: [invest@argoinvestments.com.au](mailto:invest@argoinvestments.com.au)

#### **What financial services does ASCO offer?**

ASCO holds an Australian Financial Services Licence (No. 470477). The licence authorisations allow ASCO to offer the following financial services to retail investors:

- Provide general financial product advice on securities; and
- Deal in securities.

#### **Does ASCO provide personal financial advice to retail clients?**

No. Any financial advice provided to you is general and has been prepared without taking into account your objectives, financial situation or needs. Before acting on information or deciding whether to acquire or hold a product, you should seek advice from your financial adviser and consider its appropriateness to your own objectives, financial situation or needs, and obtain a copy of the prospectus (or other applicable disclosure document) for that product.

#### **How will I pay for the service?**

ASCO will not charge you a fee for any general advice or information provided to you. If you purchase any securities in relation to which ASCO has provided you with general advice, through a broker or licensed financial adviser, you may be required to pay fees to those parties.

#### **How are ASCO and its representatives remunerated?**

ASCO provides investment management services to listed companies (LICs). Argo reimburses the operating costs that ASCO incurs in providing financial services. ALI pays ASCO a management fee based on funds under management.

Fees paid to ASCO by the LICs are not linked to the outcome of any advice provided by ASCO through its employee and director representatives. These representatives are not paid any commission by ASCO or by any LIC for providing advice. Base salaries, bonuses and other benefits are paid by ASCO, and are based upon the achievement of predetermined corporate and personal objectives. Representatives of ASCO may hold directly or indirectly, securities in some or all of the LICs to which ASCO provides advice.

#### **Compensation arrangements**

ASCO has professional indemnity insurance cover in respect to the financial services which ASCO provides to its clients. The insurance covers claims in relation to the conduct of our past and present representatives. These arrangements comply with the requirements of section 912B of the Corporations Act 2001.

#### **Details of associations**

ASCO is a wholly owned subsidiary of Argo. Argo, ASCO and ALI have common management and some common directors.

#### **What should you do if you have a complaint?**

We have established procedures for dealing with complaints. In the first instance you can make a complaint by telephone on (08) 8210 9500, or in writing to:

Complaints Officer

Argo Service Company Pty Ltd

Level 25, 91 King William Street

Adelaide SA 5000

If you are dissatisfied with the outcome, you may refer the matter, free of charge, to the Australian Financial Complaints Authority (AFCA):

Australian Financial Complaints Authority

GPO Box 3

Melbourne VIC 3001

Phone: 1800 931 678

Email: [info@afca.org.au](mailto:info@afca.org.au)

ASCO is a member of the AFCA external dispute resolution scheme.

The Australian Securities and Investments Commission (ASIC) also has an information line (1800 300 630), which you may use to make a complaint and obtain information about your rights.