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## **FINANCIAL SERVICES GUIDE**

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**Issue Date:** 1<sup>st</sup> July, 2019

This Financial Services Guide (FSG) is dated 1<sup>st</sup> July, 2019 and replaces all previous versions. Maven Capital Pty Ltd [AFSL 418504] (hereafter known as Maven Capital) authorise the distribution of this FSG.

### **About This Guide**

This Financial Services Guide (FSG) is an important document that is designed to tell you about:

- Who we are.
- How you can contact us.
- The financial services we offer so you can make an informed decision whether to use those services.
- Information we need from you.
- The cost of our advisory services and how we pay our representatives.
- What to do if you have a complaint about our services.

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If you need further information on any of these matters, please ask.

## **About Us**

ShareTradingEducation.com Pty Ltd (hereafter known as STE) is a Financial Services Company facilitating Advisory Services to Retail and Wholesale Clients in Securities and Managed Investments and ETF Portfolio Signals Service.

**Information provided by STE is General Financial Product Advice only and is prepared without taking account of any client's objectives, financial situation or needs.**

You should consider seeking the advice of relevant taxation, superannuation, and/or other relevant advisers before the information is acted on.

We will not provide advice on classes of financial products other than those identified in STE authorisations through the Licensee, Maven Capital. The licensee is ultimately responsible for the advice provided and services offered to clients of STE. Accordingly, within this FSG, some references to 'we' refer to information which will be required to be collected by the licensee.

STE and Maven Capital are not registered tax agents and any reference to tax is incidental and must be confirmed with a registered tax agent.

## **So what do we do?**

We publish unique education on how you can use Jim Berg's profitable *'Weight-of-Evidence'* strategies – to invest and trade in Australian, USA and other stock markets .....whether you're 18 or 80.

ShareTradingEducation.com provides education and ongoing training together with general advice trading recommendations for Securities, ETFs, Managed Investments and ETF Portfolio Signal Service. ShareTradingEducation.com may also provide research data on specific companies at the request of clients. These services are delivered through the ShareTradingEducation.com websites, DVDS, video streaming, weekly 'Investing & Online Trading' Stock Market Report, Home Study Courses, Jim Berg's Trading and Weekly Investing Signals Services, webinars and workshops.

Full details of our Terms and Conditions of use of our website can be found at <https://www.sharetradingeducation.com/terms-and-conditions.aspx>

## **What Are Our Authorisations**

STE is authorised to provide general financial product advice on the following products;

**Deposit and Payment Products – Basic and Non Basic Products**  
**Securities**  
**Managed Investments**

STE is authorised to provide these advisory services to retail and wholesale clients.

## **Who Is Your Adviser?**

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STE is your Adviser and is a Corporate Authorised Representative No. (322726) of Maven Capital Pty Ltd (AFSL 418504).

### **To Obtain Services From Us**

If you do not have a nominated adviser, you can contact us at –

Office Address: ShareTradingEducation.com Pty Ltd  
16 Vista Ave  
COPACABANA NSW 2251

Ph (02) 4326 1699 | Email – [info@ShareTradingEducation.com](mailto:info@ShareTradingEducation.com)

As the Licensee, Maven Capital is responsible for the advice you receive from us. 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 Maven Capital, who should be able to assist you.

Maven Capital can be contacted by phone on 07 5507 7721 or email at [compliance@mavencapital.com.au](mailto:compliance@mavencapital.com.au).

### **General Financial Advice**

Because we are financial publishers and not your financial advisor, we don't provide investment advice that is tailored to your personal situation. While we make specific recommendations, they should not be construed as personal investment advice.

**We will only offer you General Financial Product 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.

When we answer questions from readers, our advice is of a general nature only and is not a substitute for advice from an independent financial advisor.

To be clear: You should seek independent financial advice before acting on any of our recommendations."

### **What Do We Expect From You?**

We expect that you will provide us with accurate information that we request so that we have a reasonable basis on which to provide you with general advice.

We expect that you will use our advice to enable you to make informed financial decisions.

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## **What Are The Possible Consequences Of Not Providing This Information?**

You are of course at liberty to decline to provide some or all of this information, but if you do not provide it, any recommendations we make may not be appropriate to your needs and objectives. In certain cases, your failure to provide information may place us in a position where we cannot provide any advice or any financial services to you.

### **AML/CTF**

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 before investing any funds with a licensee's adviser, the licensee will ask you to present identification documents such as passports and drivers licence. We will also have access to copies of this information. We assure you that this information will be held as per our Privacy Policy.

### **Privacy**

We are committed to implementing and promoting a privacy policy which will ensure the privacy and security of your personal information. A copy of our privacy policy can viewed at <https://www.sharetradingeducation.com/privacy-policy.aspx>

A copy of our licensee's privacy policy will be provided upon your request by calling 07 5507 7721 or email at [compliance@mavencapital.com.au](mailto:compliance@mavencapital.com.au).

### **How are we Paid for the Services We Provide?**

STE charges its clients for the education and reports it provides to its clients and articles posted on its websites via the resources section of its website.

Fees and charges will be fully disclosed to you for your approval prior to STE providing any service to you.

### **What Fees, Commissions or other Benefits?**

Employees of STE are remunerated in a variety of ways including salary, wages bonuses and commissions based on sales generated.

STE may also receive referral fees of up to 90% from Maven Capital for fees charged for Share trading transactions and other fees for Financial Services provided.

### **Combination of Fees and Commissions**

Full disclosure of all fees will be contained in the Service Agreement that the licensee will prepare for you. However, you will not be charged unless you have agreed to engage our services, the details of which are contained within the letter of engagement.

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## **Do any Relationships Exist Which Might Influence The Service or Advice I Receive?**

Neither STE nor Maven Capital are owned by any Fund Manager or institution. STE is remunerated by subscription fees that it charges its members, fees charge for educational courses and may receive a referral fee for trades executed through Maven Capital, these fees are available by contacting STE.

Our advisers are aware of their obligations to disclose the extent and nature of any relationship or conflict of interest at the time the advisers provide a financial service in those products. A full list of products provided is available by calling 07 5507 7721 or email at [compliance@mavencapital.com.au](mailto:compliance@mavencapital.com.au).

## **Will You Give Me Advice That is Suitable To My Investment Needs and Financial Circumstances?**

No, as this would be regarded as providing Specific or Personal Advice, for which we are not authorised.

## **What Should I Know About Any Of The Risks of The Investment Recommendations Made To Me?**

**STE are authorised by Maven Capital to provide general financial product advice only.**

General advice includes information contained in our education material, reports and information about the outlook of the markets. The information provided in our course content and website resources do not provide advice about products suitable for your particular needs, objectives or financial circumstances, even if we may give examples of individual stocks, shares or ETFs or have commented in view of the current or future market conditions or prospects for the Securities and Managed Investments.

This information does not constitute personal investment advice and it has been prepared without taking into account your objectives, financial situation or needs.

You should always consider the appropriateness of the advice, in light of your own objectives, financial situation or needs before acting on the advice. You should consider and discuss this information with your financial adviser before making your own investment choice.

## **What Information Do You Maintain You Maintain in My File And Can I Examine My File?**

We and our licensee Maven Capital need to hold all information you give us for a period of 7 years. Yes you can view information held by making a request.

## **How Can I give you Instructions Regarding My Account?**

You may specify how you would like to give STE or Maven Capital instructions, for example, by telephone, email or other means.

## **What Kind Of Compensation Arrangements Are In Place And Are These Arrangements Compliant?**

STE confirms that arrangements are in place both through STE and Maven Capital to ensure that it continues to maintain Professional Indemnity Insurance in accordance with Section 912B of the

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Corporations Act 2001, (as amended). In particular the Professional Indemnity Insurance, subject to its terms and conditions, provides indemnity up to the sum insured for the Licensee and its authorised representatives in respect of our authorisations and obligations under the Australian Financial Services License.

### **How reliable is your education?**

Direct investing in the stock market can result in financial loss. The past performance of the education and resources we provide is not and should not be taken as an indication of future performance. Caution should be exercised in assessing past performance. Our service, like all other financial services, is subject to market forces and unpredictable events that may adversely affect its future performance.

### **What Should I Do If I Have A Complaint?**

STE and Maven Capital are committed to providing quality advice to clients. This commitment extends to providing accessible complaint resolution mechanisms for our clients. If you have any complaint about the service provided to you, you should take the following steps;

1. If your complaint is related to the service supplied by STE, contact STE by email at [Info@ShareTradingEducation.com](mailto:Info@ShareTradingEducation.com) immediately.
2. If your complaint is related to the service supplied by our licensee, Maven Capital, contact the compliance officer immediately on [compliance@mavencapital.com.au](mailto:compliance@mavencapital.com.au)

If your complaint is not satisfactorily resolved within 7 days please contact STE's authorising licensee (Maven Capital) on Phone 07 5507 7721. Or put it in writing and email to [compliance@mavencapital.com.au](mailto:compliance@mavencapital.com.au)

If we cannot reach a satisfactory resolution within a further 45 days you can raise your concerns with the Australian Financial Complaints Authority on 1800 931 678 or by lodging your complaint online at [www.afca.org.au](http://www.afca.org.au) .

The Australian Securities and Investments Commission, (ASIC), also has a free call info line on 1300 300 630 which you may use to make a complaint or obtain information about your rights.