



# Financial Services Guide

Macquarie Securities (Australia) Limited

Date: 1 July 2020

Macquarie Securities (Australia) Limited (ABN 58 002 832 126)

AFS Licence no: 238947

## About this document

This Financial Services Guide (FSG) is an important document in which we (Macquarie Securities (Australia) Limited - referred to throughout this FSG as 'MSAL', 'we' or 'us') outline:

- who we are and how we can be contacted;
- what financial services and types of financial products we are authorised to provide to you;
- how we (and any other relevant parties) are remunerated;
- details of any potential conflicts of interest;
- a description of our compensation arrangements; and
- details of our internal and external dispute resolution procedures and how you can access them.

This FSG should assist you in deciding whether to use any of our financial products or financial services. If you choose to use any of our financial products and financial services you may also receive other documents about those products or services, which you should read carefully.

## About Macquarie Securities (Australia) Limited

Any financial services offered are provided by representatives of Macquarie Securities (Australia) Limited.

Macquarie Securities (Australia) Limited is part of the Macquarie group of companies ("Macquarie Group") and is associated with other Macquarie Group entities.

Macquarie Securities (Australia) Limited is a participant in the following licensed markets or clearing and settlement facilities, or markets or facilities operated by:

- ASX Limited
- Chi-X Australia Pty Limited

### You can contact us by:

- speaking to your nominated representative;
- if you do not have a nominated representative, calling (02) 8232 3333
- visiting our website at [macquarie.com](http://macquarie.com)

- writing to us at:  
Macquarie Securities (Australia) Limited  
Level 3  
50 Martin Place  
SYDNEY NSW 2000

## Other documents you might receive

### Product Disclosure Statement (PDS)

This will be provided by a licensee when a recommendation to acquire a particular financial product (other than securities), or offer to issue, or arrange the issue of, a financial product, is made. A PDS contains significant information necessary for you to make an informed decision about that product. This will not be provided by Macquarie Securities (Australia) Limited, but will generally be provided by the licensee (being another Macquarie Group entity or otherwise) providing the financial service or recommendation to acquire a financial product to you.

## Our financial services and products

Macquarie Securities (Australia) Limited is authorised under its Australian Financial Services Licence (AFSL) to offer, among other things, the following financial services and products to retail and wholesale clients:

- provide financial product general advice, and
- deal in financial products by applying for, acquiring, varying or disposing of a financial product on behalf of others.

These services may be provided in relation to a range of financial products including:

- basic deposit products
- non-basic deposit products
- non-cash payment products
- derivatives
- foreign exchange contracts
- government debentures, stocks or bonds
- interests in managed investment schemes including investor directed portfolio services (IDPS)

- securities; and
- holding a financial product or interests in a financial product for you directly or indirectly

We may provide an execution only securities dealing service or custodial service to you in relation to financial products in connection with products issued by other members of the Macquarie Group of companies.

## Providing instructions to Macquarie Securities (Australia) Limited

Macquarie Securities (Australia) Limited may act on instructions of other Macquarie Group entities as well yourself. You may need to contact the relevant Macquarie Group entity you are dealing with to provide instructions in relation to your financial product or service. Further details are provided in the relevant PDS.

## Payments to Macquarie Securities (Australia) Limited for the services provided

Macquarie Securities (Australia) Limited will not receive any direct remuneration from you for any services that it provides to you. However, MSAL may receive remuneration from other Macquarie Group entities for providing these services to you, and where this is the case, a separate disclosure may be made to you by the other Macquarie Group entity as required.

## Remuneration or other benefits received by Macquarie Securities (Australia) Limited staff

Our employees and directors receive salaries, bonuses and other benefits from us. The PDS or prospectus for the particular product will disclose further details of remuneration received by Macquarie employees or paid to financial advisers.

## Remuneration or benefits paid to those who refer clients to us

If we pay a fee or commission in relation to a referral, we will make a separate disclosure to you.

## Your privacy

At Macquarie, the privacy of your personal information is important to us. Any personal information collected will be handled in accordance with our Privacy Policy.

Our Privacy Policy details how we handle your personal information. A copy of that policy, as amended from time to time can be obtained by visiting the Macquarie website at [macquarie.com](http://macquarie.com)

## Compensation arrangements

Macquarie Group, on behalf of Macquarie Securities (Australia) Limited has a Professional Indemnity Insurance Policy, which satisfies the requirements for compensation arrangements under section 912B of the *Corporations Act 2001* (Cth).

Subject to its Terms and Conditions, the Policy provides cover for civil liability resulting from third party claims concerning the professional services provided by Macquarie Securities (Australia) Limited, its employees and representatives.

This Policy covers professional services provided by employees and representatives of Macquarie Securities (Australia) Limited while they are in our employ, even where that employee or representative has subsequently left our employ.

## How we handle complaints

Macquarie is committed to providing a high standard of client service and to maintaining our reputation for accountability and integrity. If our level of service or quality of products has failed to meet your expectations, we would like you to tell us about your concerns. Macquarie's complaint handling process is designed to ensure that your concerns are treated seriously and that your complaint is addressed promptly and fairly. Your complaint may be lodged either verbally or in writing, and will be dealt with in strict confidence. If you have a complaint about the service provided to you, you should contact us. If your complaint is not satisfactorily resolved, contact:

Risk Management Group, Compliance Macquarie Securities (Australia) Limited Level 3  
50 Martin Place  
SYDNEY NSW 2000

If any 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.

You may lodge a complaint with the AFCA if:

- your complaint relates to a Macquarie Securities (Australia) Limited product or service, and
- you are not satisfied with our response after 45 days.

Macquarie Securities (Australia) Limited is a member of AFCA. You can contact AFCA via the following, quoting membership number 14905:

**Australian Financial Complaints Authority**  
GPO Box 3, Melbourne VIC 3001  
Tel: 1800 931 678 (free call)  
Email: [info@afca.org.au](mailto:info@afca.org.au)  
Website: [www.afca.org.au](http://www.afca.org.au)