



This document (“Guide”) is intended as a guide to new clients of Rockworth Capital Pty Limited (‘Rockworth Capital’, ‘Rockworth’, ‘we’, ‘us’ or ‘our’) to understand certain matters relating to our operations,

If you are interested in applying directly for Rockworth Capital products, this Guide is designed to help you consider whether to apply for Rockworth Capital products and provide you with an understanding of what to expect from our relationship. This guide contains important information about:

- who we are and how we can be contacted;
- the types of products we are authorised to provide;
- how we are remunerated;
- conflicts of interest; and
- dispute resolution procedures and how you can access them.

## Advice

Rockworth Capital will not provide any personal financial advice. We can provide you with information that will be of a general in nature only and will not take account of your objectives, financial situation or needs. If you want personal financial product advice that takes into account your objectives, financial situation or needs, you should contact a financial adviser.

## Who We Are and how we can be contacted

Rockworth Capital is an unlisted public company which has been issued with an AFS Licence (by the Australian Securities and Investment Commission (‘ASIC’) – AFS licence Number 483942.

Further information on our people and products can be found on our website at <https://www.rockworthcapital.com.au>

### a) Our Contact Details

Rockworth Capital can be contacted in a number of different ways: Phone – **+61 7 3510 3510**

Email – [applications@rockworthcapital.com.au](mailto:applications@rockworthcapital.com.au)

Website – <https://www.rockworthcapital.com.au>

## **b) Documents You May Receive**

If you choose to invest in any of our products you may receive important documents. These may include an Information Memorandum ('IM'). An IM is a document (or group of documents) that describes a financial product. A IM contains important information to assist you to make a decision about the product. You may receive an IM if an offer is made to issue or arrange the issue of a financial product.

## **c) Providing Instructions to Rockworth Capital**

You can give us instructions by telephone, mail or email. There may be special instruction arrangements for some products. Any special instructions will be explained in the relevant IM (or other offer document).

## **d) Personal Information**

At Rockworth Capital the privacy of 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 comply with the requirements of the Privacy Act in the handling of your personal information.

A copy of that policy can be obtained by visiting the Rockworth Capital website at <https://www.rockworthcapital.com.au>. If you would like a copy of the information we hold for you, please contact us. We may charge you our reasonable costs of accessing and/or photocopying your personal information that you request.

## **The Financial Services we are Authorised to Provide**

Under its AFS licence, Rockworth Capital is authorised to provide the following financial services:

- the provision of general financial product advice in respect of interests in managed investment schemes (excluding investor directed portfolio services) and securities
- dealing in a financial product by:
  - issuing, applying for, acquiring, varying or disposing of derivatives, interests in managed investment schemes (excluding investor directed portfolio services) and securities;
  - applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of basic deposit products, derivatives,

general insurance products, interests in managed investment schemes (excluding investor directed portfolio services) and securities;

- operating certain types of registered managed investment schemes; and
- operating custodial or depository services (other than investor directed portfolio services).

## How are we remunerated and how we pay introducers

### a) Payments to Rockworth Capital

Rockworth Capital may charge fees for the services and products it provides. These fees may include upfront fees, management fees, sale fees and performance fees where the product meets stipulated performance hurdles. Full details regarding the fees charged by Rockworth Capital will be outlined in the IMs issued by Rockworth.

### b) Commissions to introducers

Rockworth Capital will not pay commissions to intermediaries who place an investment in a Rockworth Capital product if such a payment is contrary to law.

## Conflicts of Interest

All transactions in which Rockworth Capital may have, or may be perceived to have, a conflict of interest will be conducted in accordance with Rockworth's related party transactions and conflicts of interest policy. Under this policy, Rockworth Capital may be required to disclose conflicts of interests to investors and to ensure that its disclosure is timely, prominent, specific and meaningful and contains enough detail to understand and assess the potential impact on the service provided by Rockworth Capital.

## Making a Complaint

### a) Making a Complaint

Rockworth Capital is committed to providing a high standard of client service and to act with honesty and integrity. If our level of service or quality of products has failed to meet your expectations, we would like you to tell us.

If you have a complaint about the performance of Rockworth Capital, then you are entitled to have your complaint dealt with in a proper and fair manner. The Constitution, Corporations Act and ASIC Regulatory Guides detail how complaints can be made and how Rockworth Capital must address them.

If you have a complaint, then you should notify Rockworth Capital in writing or otherwise. Each complaint will be addressed in an equitable, objective and unbiased manner by Rockworth Capitals' internal complaints resolution handling process.

#### **b) Compensation Arrangements**

Rockworth Capital holds a Professional Indemnity Insurance Policy, which satisfies the requirements for compensation arrangements under section 912B of the Corporations Act. Subject to the terms and conditions, the Policy provides cover for civil liability resulting from a third party claims concerning the products provided by Rockworth Capital and its employees and representatives.

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