

## Financial Services Guide for Planet Wealth Pty Limited (ABN 44 116 459 397)

ASIC authorised representative number 300583

### Introduction

As a requirement of the Financial Services Reform Act (FSRA), we are obliged to provide you with a Financial Services Guide (FSG).

This FSG is provided by Planet Wealth Pty Ltd in its capacity as an authorised representative of Falconer Bellomo & Co Ltd, ABN 69 006 970 93 holder of Australian Financial Services Licence No. 244315.

Falconer Bellomo & Co Ltd has authorised Planet Wealth to provide ***“general financial product advice, arrange for a person to deal in a financial product, and issue, apply for, acquire, vary or dispose of a financial product on behalf of another”***.

The purpose of providing this FSG is to ensure you are given sufficient information to make informed decisions regarding whether to obtain financial services from Planet Wealth. It includes details of how we are remunerated and what your options are should you ever have a complaint about our services.

The matters covered by the FSG include:

- Who we are?
- How we can be contacted?
- What services we are authorised to provide to you?
- How we are remunerated?
- Details in relation to any potential conflicts of interest.
- Details in relation to our internal & external dispute resolution procedures along with how you can access them.

### Who is PLANET WEALTH?

Planet Wealth is an investment and trading company that uses shareholder funds to create both income and capital growth. We are diversified across a range of strategies using securities and derivatives (shares, stocks and options) on both the Australian and US stockmarkets.

We share our experience, skill and knowledge with our members. We educate, guide and support them so that they can achieve their financial goals.

Our members range from first time investors to experienced traders. We provide:

- A comprehensive education on each of the strategies we use through our series of E-Books.
- An online community for our members to discuss our strategies in an open and interactive environment.
- Full support from our team of professional traders.
- Access to the ‘real life’ trades those professionals place.
- An introduction to AutoTrader, which enables our members to copy our trades automatically.

The Planet Wealth team includes Andrew Dimitri (Authorised Representative No. 302954) and Scott Robertson (Authorised Representative No. 245170), who are accredited by ASIC under PS146 to provide General Advice in Managed Investments, Securities and Derivatives. They are supported by a team of investment analysts, customer service and IT personnel.

## **How can we be contacted?**

Planet Wealth Pty Ltd  
PO Box 510  
Goodwood, SA, 5034

Fax: +61 8 8172 0258  
Email: [info@planet-wealth.com](mailto:info@planet-wealth.com)

## **What services are we authorised to provide to you?**

Falconer Bellomo and Company Ltd has authorised Planet Wealth licensed to offer you the following services:

- **Provide general financial product advice only.**
- **Arrange for a person to deal in a financial product.**
- **Apply for, acquire, vary or dispose of financial products on behalf of another.**

## **How do we get remunerated?**

Planet Wealth operates a subscription based educational business.

When subscribing you will be required to pay a subscription fee in advance, according to the period of time you choose to join. Our fees are denominated in US dollars and are as follows:

**Planet Wealth E-Book Series** one off charge paid at time of purchase of US\$99 (US\$108.90 including GST for Australian residents)

**Trading Diary** subscription paid in advance:

Monthly recurring subscription = US\$99 (US\$108.90 including GST for Australian residents) per Trading Diary subscription

Yearly recurring subscription = US\$990 (US\$1,089 including GST for Australian residents) per Trading Diary subscription

Each subscription to the Trading Diaries for Renting AU Shares, Renting US Stocks, Credit Spreads, Protected Equity and Active Options is a separate charge.

**Trading Room** subscription paid in advance:

Monthly recurring subscription: US\$399 (US\$438.90 including GST for Australian residents)

6 Monthly recurring subscription: US\$2,199 (US\$2,418.90 including GST for Australian residents)

Yearly recurring subscription: US\$3,999 (US\$4,389 including GST for Australian residents)

When attending a Workshop or Seminar you may be required to pay any attendance fee upfront.

## **Do we receive remuneration or commission fees or other benefits when we refer you to another professional?**

We are a dynamic Australian-owned organisation, the shareholders being employees or associates. This means that our company is not at the influence of banks, fund managers or insurance companies regarding recommendations.

We believe that the continued development of our business depends on this unwavering commitment to our members. We do receive commissions from some or all of our recommended brokers, including commissions for AutoTrader. However, our recommended brokers only remain IF they continue to provide the quality service we demand for our members.

Remember, Planet Wealth (and its Authorising licensees) always attempts to act on the best behalf of its members when recommending third parties, regardless of its remuneration.

### **Will we provide you with specific advice in relation to your needs?**

No, Planet Wealth provides general advice only, and does not take into account the investment objectives, financial situation and particular needs of the investor. Before making any decision about the information provided by Planet Wealth, you must consider the appropriateness of the information having regard to your objectives, financial situation, and needs, and always consult your advisor. Securities and Derivatives have inherent risks and can involve high risk investment.

We can however refer you to a specialist for personal advice should you request it.

### **What information do you maintain in my file?**

We keep your name, address, phone numbers, email details and sometimes we may ask what markets you like to trade (for marketing purposes).

You can change or remove your details from our database upon request.

### **Problem Resolution or Complaints**

Problem resolution is a priority for us. If you have any problems with the financial services that we provide, please contact us and we will endeavour to resolve it for you quickly and fairly. You should take the following steps to enable us to do so:

1. Contact our office and tell us about your complaint.
2. If your complaint is not satisfactorily resolved within 14 days, please contact our **Dispute Resolution Officer** in writing at:

Planet Wealth Pty Ltd, PO Box 510, Goodwood, SA, 5034

We will forward a copy to our licensee Falconer Bellomo and Company Ltd and attempt to resolve your complaint quickly and fairly within 45 business days of receipt.

3. If your complaint is not resolved within 45 business days and you remain dissatisfied you have the right to contact the Financial Ombudsman Service (FOS). Falconer Bellomo & Co Ltd is a member of FOS, which is an ASIC approved Disputes Resolution Scheme. You can contact FOS at:

Telephone: 1300 78 08 08

Facsimile: (03) 9613 6399

Website: [www.fos.org.au](http://www.fos.org.au)

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

Mail: GPO Box 3, Melbourne, Victoria, 3001

### **Professional Indemnity Insurance**

Falconer Bellomo and Company Ltd has in place Professional Indemnity Insurance which satisfies the requirements of Section 912B of the Corporations Act. In very general terms, Section 912B requires Falconer Bellomo and Company Ltd to have arrangements for compensating a Retail Client for loss or damage suffered because of breaches by Falconer Bellomo and Company Ltd or our representatives/employees of obligations under Chapter 7 (Financial Services and Markets) of the Corporations Act. The Professional Indemnity Insurance will not cover claims in relation to the conduct of representatives/employees who no longer work for Falconer Bellomo and Company Ltd but who did at the time of the relevant conduct."

## **Compliance**

Employees and associates of Planet Wealth Pty Ltd may hold positions in particular shares or options as posted on the website.

Shares and interests in securities held by directors or associates of Planet Wealth are disclosed in each report.

Our licensee, Falconer Bellomo & Co Ltd, can be contacted at their Head Office:

Mr Peter Bellomo  
Director  
Falconer Bellomo & Company Limited  
Suite 404, 73 Flinders Lane  
Melbourne, VIC, 3000

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### **Planet Wealth Pty Ltd**

is an Authorised Representative (Authorised Representative number 300583)  
of Falconer Bellomo & Co Ltd (Australian Financial Services License 244315)  
PO Box 510, Goodwood, SA, 5034