



FINANCIAL SERVICES GUIDE

LYNX ADVISORS PTY LTD
ACN 654 471 262
CAR 1293460

OF

BR SECURITIES AUSTRALIA PTY LTD
ABN 92 168 734 530
AFSL 456663

EFFECTIVE DATE: 15 OCT 2021

ABOUT US

BR Securities Australia Pty Ltd (BR) is the holder of Australian Financial Services License (“AFSL”) number 456663.

Lynx Advisors Pty Ltd (Lynx), is an Authorised Representative (number 1293460) of BR.

This Financial Service Guide (FSG) is designed to assist you in deciding whether to use Lynx services and includes such things as:

- Who we are
- Our services
- How we transact with you
- How we are paid, and
- Complaint processes

Contact Details

BR Head Office: Suite 5GB, Level 5, 33 Queen Street, Brisbane QLD, 4000

Lynx Head Office: Level 11/66 Clarence St, Sydney NSW 2000

Lynx Email: support@lynxadvisors.com.au

Lynx is the entity providing the AFSL authorised services to you as a retail or wholesale client.

WHAT FINANCIAL SERVICES ARE WE AUTHORISED TO PROVIDE?

Lynx is authorised to:

Provide general advice to retail and wholesale clients in relation to:

- Securities;
- MIS including IDPS;
- Standard margin lending facilities;
- Derivatives

Deal on behalf of retail and wholesale clients in relation to:

- Securities;
- MIS including IDPS;
- Standard margin lending facilities;
- Derivatives

The distribution of this FSG by Lynx is authorised by BR.

Lynx’s representatives may have some or all of the authorisations listed above.

OUR GENERAL ADVICE SERVICE

Please note that any advice given by Lynx is general advice, as the information or advice given will not take into account your particular objectives, financial situation or needs. You should, before acting on the advice, consider the appropriateness of the advice, having regard to your objectives, financial situation and needs. If our advice relates to the acquisition, or possible acquisition, of a particular financial product you should read any relevant Product Disclosure Statement or like instrument.

As we only provide general advice we will not be providing a Statement of Advice.

We will provide you with recommendations on:

- Securities, Funds, Margin loans, Derivatives.



OUR DEALING SERVICE

ASX and other exchange listed investments, including offshore exchanges (Listed investments)

Lynx offers retail and wholesale clients access to the listed markets via 3rd party market participants (MP) we hire to provide such access.

Under our guidance, our clients apply for an account with the MP directly filling in MP forms and supplying relevant identification. The MP will supply their own FSG when you apply for an account. All cash movements and settlements are handled by MP independently of Lynx. Clients may also fill in forms supplied by Lynx. Lynx interacts with both the MP and clients accessing the MP platform.

We act for our clients and we are not agents of the MP. We hire the MP on a commercial basis. A client will interact with a Lynx representative and be clients of Lynx, not an MP. A client will deal through Lynx and the MP platform because they want access to Lynx's recommendations.

You can deal with Lynx via a phone or email order to a representative which will then be transacted into the MP platform.

Other

Lynx will assist you with the application process for unlisted investments and margin loans

HOW ARE WE PAID?

Listed investments

Lynx receives a share from an MP of the negotiated brokerage you are charged to trade. The brokerage you pay to an MP when transacting is all you pay, there are no other fees.

Any initial public offerings (IPO) or secondary raisings that Lynx representatives distribute to you may earn fees for the Lynx representatives paid for by the issuers. You will be informed about any potential fees we may receive prior to dealing.

Lynx representatives receive a share, subject to the conflicted remuneration laws, of the brokerage, IPO and secondary raising fees, if any, that Lynx receives.

Other Investments

Lynx may charge a fee, agreed with you prior to making an investment, for advice and assistance regarding the investment or margin loan facility.

PRIVACY

We collect personal information about you from the details supplied by you or by your adviser or broker. We may also collect additional personal information about you by other means from time to time, such as when checking ASIC registers.

We use the personal information we collect about you for a number of purposes, principally to be able to get in touch with you. The information is used for related purposes such as:

- Complying with various laws, including taxation laws, the Corporations Act 2001, and the AML_CTF Act 2006;
- Keeping you informed about our products and services.

We only collect sufficient information to be able to fulfil our legal obligations.

We store hard copies of any personal information in locked files and, and any soft copy on the local drives of your Adviser, Compliance Manager or in professionally managed and secured cloud storage.

In addition to storing your personal information on our files, we may disclose personal information to various organisations or people in certain circumstances. These include:

- Australian Taxation Office and other government bodies, as required by law
- Your Advisers or Accountants, with your consent
- Any third party service provider we may engage to provide administration, technology, auditing or printing services
- Your representatives, such as your legal advisers or an attorney.

Your personal information will not be sold to a third party, here or overseas, or made public without your permission.

We can let you know about the sort of information we hold, for what purposes and other related general matters. You have a right of access to the personal information we hold about you, subject to the exceptions allowed by the law. If your information is inaccurate or needs updating, we will correct it. Please contact your Adviser about your client information if you have any concerns.

ASSOCIATIONS AND RELATIONSHIPS

BR, Lynx, its directors and related parties have no associations or relationships with any product issuers other than when advising retail clients to invest in managed funds when the managers of these funds may also be clients of Lynx. As such we may receive brokerage for our services of execution and advice from the same funds that we recommend.

Lynx representatives may from time to time deal in or otherwise, have a financial interest in financial products recommended to you but any material ownership will be disclosed to you when relevant advice is provided.

COMPLAINTS

If you have a complaint about our service you should contact your representative and tell them about your complaint. The representative will follow BR's internal dispute resolution policy, which includes sending you a copy of the policy when required to. If you aren't satisfied with an outcome, you may contact AFCA, see below.

BR is a member of the Australian Financial Complaints Authority (AFCA). AFCA provides a fair and independent financial services complaint resolution that is free to consumers.

Website: www.afca.org.au ; Email: info@afca.org.au ; Telephone: 1800931678 (free call)
In writing to: Australian Financial Complaints Authority, GPO Box 3, Melbourne, VIC, 3001.

PROFESSIONAL INDEMNITY INSURANCE

BR has in place Professional Indemnity Insurance which satisfies the requirements for compensation under s912B of the Corporations Act and that covers our authorized representatives.

