

Financial Services Guide

Version: 1 Oct 2023

Licensee:

Resonant Asset Management Pty Ltd
(AFSL 511759) (ABN 41 619 513 076)

Contact Details

24-26 Kent Street
Millers Point NSW 2000

Purpose of this FSG

This Financial Services Guide (FSG) will help you decide whether to use the services that we offer. It contains information about:

- The services we offer
- Any conflicts of interest which may impact the services
- How we are remunerated
- How we deal with complaints if you are not satisfied with our services

Resonant Asset Management

Resonant Asset Management Pty Ltd holds an Australian Financial Services Licence. It is required to comply with the obligations of the Corporations Act and the conditions of its licence. This includes the need to have compensation arrangements in place with a Professional Indemnity insurer.

Our services

Resonant Asset Management is authorised to provide general advice and dealing services to retail clients in the following areas:

- Managed Funds
- Securities
- MDA Services
- Superannuation

Resonant provides investment management expertise through education and training to the principals of financial planning practices. This is provided in conjunction with our investment management services on Managed Accounts.

Resonant Asset Management is not authorised to provide personal advice to retail clients.

Not Independent

We do not charge you a fee for our advice on Managed Accounts as we are paid a volume based payment (in most cases) in the form of a model manager fee by the product provider/issuer. Our advice in relation to Managed Accounts is therefore not independent, impartial or unbiased.

Product Disclosure Statement

Where we provide you with advice on managed funds, we will provide you with a Product Disclosure Statement. This contains information to help you understand the product and to determine whether it is suitable for you.

Instructions

You can provide instructions to us in writing, via phone or via email. In some cases, we may require you to provide signed instructions.

Referral Fees and Commissions

In some situations, we may receive fees or commissions where we refer you to external parties. We will disclose the referral arrangements to you whenever we refer you to an external party.

In some situations, we may pay fees or commissions to external parties who have referred you to us. We will disclose the referral arrangements to you whenever you enter into a service arrangement with us.

Conflicts of Interest

Resonant Asset Management is remunerated for the investment management services it provides on Managed Accounts.

Resonant may provide general advice to the retail clients of its wholesale financial planning business clients, in the form of market notes and commentary. Resonant may be remunerated for these notes either through the revenue it receives from the Managed Accounts, or by a fee it receives directly from the wholesale financial planning business client.

Glen Holder and Nick Morton may recommend investments in shares that they or their associated parties may hold or may hold in the future. You will be advised where a conflict of interest may exist and how the conflict will be managed.

Adviser Remuneration

Glen Holder and Nick Morton are the owners of Resonant Asset Management and they are remunerated through the profits of the business.

Making a Complaint

We endeavour to provide you with the best advice and service at all times. If you are not satisfied with our services, then we encourage you to contact us.

Please call us, send an email or put your complaint in writing to our office. There is information on our website about how we deal with complaints.

If you are not satisfied with our response, then you can refer your complaint to the Australian Financial Complaints Authority. You can contact AFCA on 1800 931 678 or www.afca.org.au.

AFCA provides a fair and independent complaint resolution service which is provided to you free of charge.

Professional Indemnity

Insurance

We have professional indemnity insurance in place which covers us and our representatives for errors or mistakes relating to our services provided to you.

This insurance meets the requirements of the Corporations Act and covers the services provided by our employees including after they cease working with us, provided we notify the insurer of the claim when it arises, and this is done within the relevant policy period. This is subject to relevant terms and conditions of the policy in relation to providing indemnity.