

# Alpha Investment Management Pty Ltd Financial Services Guide

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Alpha Investment Management Pty Ltd ("**Alpha**") ABN 13 122 381 908 is providing you with this Financial Services Guide ("**FSG**") to assist you in making an informed decision about the financial services and products Alpha and its Representatives offer.

Alpha ("We", "Us" or "Our") provides financial services through its Australian Financial Services Licensee (AFSL) No. 307379.

This guide is designed to provide you with important information to assist you in determining whether to use any of the financial services provided by Alpha or our Representatives.

This guide will provide you with key information about:

1. Who is Alpha?
2. Contacting Alpha
3. Financial services we are authorised to provide you
4. Documents you may receive
5. Remuneration, Commission, Fees or Other Benefits
6. Our Relationships
7. Your Privacy
8. Professional Indemnity Insurance
9. What to do if you are not satisfied with our services.

## **Lack of Independence**

Alpha Investment Management Pty Ltd, our Related Parties and Representatives are not independent and cannot be considered as impartial or unbiased because:

- a) We may receive volume-based payments or other gifts or benefits from some products recommended to clients; and
- b) Are a wholly owned subsidiary of Infocus Wealth Management Limited, ("**Infocus**"), other subsidiaries of Infocus promote a range of financial products which may be recommended to clients.

## **1. About Alpha**

Alpha is a boutique investment manager that specialises mainly in the development and management of a range of objective-based investment solutions for platforms, financial advisers and individual investors. Our investment solutions bring together the following core capabilities:

- Asset allocation
- Capital markets research
- Multi-asset portfolio construction

## 2. Contacting Alpha

OFFICE ADDRESS	Level 2, Cnr Maroochydore Road & Evans St Maroochydore QLD 4558
POSTAL ADDRESS	PO Box 1856 Sunshine Plaza QLD 4558
PHONE NUMBER	07 5406 5000
WEBSITE	alphainvestmentmanagement.com.au
EMAIL	support@alphainvestmentmanagement.com.au

## 3. Financial Services and Products We Provide

Alpha is authorised to **provide financial product advice** to retail and wholesale clients and **deal in a financial product** by applying for, acquiring, varying or disposing of a financial product to retail and wholesale clients on behalf of another person in respect of the following classes of products:

- Deposit products;
- Government debentures, stocks and bonds;
- Life products including investment life insurance products, life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
- Managed Investment Schemes including investor directed portfolio services ("IDPS") and retirement savings accounts ("RSA") products;
- Securities;
- Standard margin lending; and
- Superannuation.

Additionally, Alpha is authorised to **provide financial product advice** to wholesale clients only and **deal in a financial product** by applying for, acquiring, varying or disposing of a financial product to wholesale clients on behalf of another person in respect of the following classes of products:

- Derivatives.

We may also give you general advice. Please note that to the extent that any of our publications, products We manage or services We provide offer advice, this is general financial product advice only. This means that the advice has been prepared without taking into account your investment objectives, financial situation or needs. Before acting on any advice, you should consider the appropriateness of the advice as well as any additional warning, disclaimers or qualifications.

Our publications, products and services should be viewed as an additional investment resource, not as your sole source of information. We recommend you obtain appropriate financial, legal and taxation advice before making any financial investment decision. In addition:

- You should be aware that past performance does not necessarily indicate a financial product's likely future performance; and

- If applicable, before making any decision to acquire a particular financial product, you should obtain and carefully consider the relevant Product Disclosure Document.

#### **4. Documents you may receive**

Before you are issued with one of Our products or the products We are investment manager for, you will receive additional documents that contain information about the particular product to help you make an informed decision about that product.

##### **Product Disclosure Statement (“PDS”)**

A PDS is a document that you will receive when recommending or offering a financial product. It includes information about the product’s key features, fees, commissions, benefits, risks and the complaints handling procedure.

#### **5. Remuneration, Commission, Fees or Other Benefits**

If you invest in one of the products We are investment manager for, Alpha will receive remuneration from various fees and charges.

Our fees are based on a percentage of assets under management, known as a management fee. If you invest in Our managed account portfolios via a platform, the management fee is typically calculated monthly in arrears based on the daily value of your account with the platform and the particular model portfolio selected. It is deducted directly from your platform account and paid to Us by the platform. Alpha does not charge performance fees.

The details of fees and charges are set out in the relevant Managed Account Disclosure Statement. If you would like a copy of these documents, please contact Us on the contact details listed in this FSG.

All employees of Alpha receive a salary and are able to participate in any bonus plan relevant to their role, as offered by Infocus from time to time at its discretion.

Our employees may from time to time receive nominal gifts/hospitality from clients and/or product providers. We have strict guidelines in place as to the circumstances and extent to which our employees may accept any such gifts/hospitality. Alpha regularly reviews all gifts, benefits and entertainment received to ensure adherence with internal policy requirements.

To the extent that any income We receive in respect of, or attributable to, the services that We provide you, as at the date of this FSG We cannot ascertain the amount that We reasonably expect to receive.

If you wish to receive further details about remuneration and related benefits that We are required to disclose to you, please contact Us within a reasonable period of time after you receive this FSG and before any financial service identified in this guide is provided to you.

#### **6. Our Relationships**

The following entities are all wholly-owned subsidiaries of Infocus Wealth Management Ltd ABN 28 103 551 015:

- Infocus Securities Australia Pty Ltd ABN 47 097 797 049 Australian Financial Service Licence and Australian Credit Licence No. 236523 provides financial advice and services and mortgage broking services;

- Infocus Lending Advisory Pty Ltd ABN 19 134 237 031 and Australian Credit Licence Number 392704, trading as Infocus Lending Advisory, provides mortgage and lending services;
- Infocus Tax & Business Advisory Pty Ltd ABN 40 615 064 983, trading as Infocus Tax & Business Advisory, is responsible for the provision of tax, accounting and business advisory services;
- Infocus Financial Planning Pty Ltd ABN 78 129 238 099, trading as Infocus Financial Advisory, is a Corporate Authorised Representative of Infocus Securities Australia Pty Ltd and provides financial advice and services;
- Alpha Fund Managers Pty Ltd ABN 37 124 085 883 is the Investment Manager for the Alpha Fund Series;
- Portfoliofocus Pty Ltd ABN 40 098 278 589 provides marketing and promotional services;
- Portfolio Administration and Reporting Pty Ltd ABN 85 145 006 757 provides marketing and promotional services;
- Platformplus Pty Ltd ABN 46 103 551 533 Australian Financial Services Licence 563335 provides investment management services and is the entity responsible for Platformplus Wealth Management System and is the Promoter of PlatformplusWRAP;
- Madison Financial Group Pty Ltd ABN 36 002 459 001 Australian Financial Services Licence 246679 provides financial advice and services; and
- Wealthportal Pty Ltd ABN 61 131 002 036 is a promoter of the WealthPortal superannuation platform.

Each entity and their representatives are liable only for the services provided within their discipline.

Alpha may enter into distribution agreements with financial product issuers where Alpha promotes the financial products they issue. Alpha may also be the model manager for financial products.

When this occurs, Alpha must ensure that when providing a financial service Our interests are not placed ahead of a client's interests so as to have an adverse effect on the client or a financial service the client receives. Alpha must ensure the financial services it provides are:

- Delivered in accordance with its conflict of interest policies, including disclosure to clients about conflicts of interest that may have a material effect on the financial service the client receives; or an investment decision the client may be considering;
- Based solely on the merits of the financial service being provided and not based on any other relationship that Alpha or its Representatives may have with that person or financial product (as the case may be); and
- Not made in order to affect the trading price of a financial product.

## **7. Your Privacy**

The privacy of your personal information is important to Us. Any personal information we collect such as your name, address, phone and email details are handled in accordance with Our Privacy Policy. Our Privacy Policy outlines how we comply with the requirements of the *Privacy Act 1988* and a copy can be obtained by visiting Our website. You can access personal information in accordance with Our Privacy Policy.

## **8. Professional Indemnity Insurance**

Alpha holds a professional indemnity insurance policy in accordance with its obligations under section 912B of the *Corporations Act 2001*.

## 9. What should you do if you are not satisfied with Our services?

If you are not happy with Alpha or the services provided to you, we encourage you to contact Our Disputes Resolution Team by either:

**Phone:** (07) 5406 5000

**Mail:** Professional Standards Manager  
PO Box 1856,  
Sunshine Plaza QLD 4558

**Email:** [professionalstandards@infocus.com.au](mailto:professionalstandards@infocus.com.au)

We will aim to resolve your complaint quickly and fairly. If the complaint cannot be resolved to your satisfaction within 30 calendar days, you have the right to refer the matter to an external dispute resolution scheme.

Lodgement of complaints should be directed to Australian Financial Complaints Authority (AFCA), of which Alpha is a member.

You can contact AFCA by:

**Phone:** 1800 931 678

**Mail:** Australian Financial Complaints Authority  
GPO Box 3,  
Melbourne VIC 3001

**Website:** [afca.org.au](http://afca.org.au)

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

**The information in this document is considered to be true and correct at the date of publication. Changes to circumstances after the time of publication may impact on the accuracy of the information held.**