



## **FINANCIAL SERVICES GUIDE**

### **Purpose of the FINANCIAL SERVICES GUIDE (FSG)**

The Financial Services Guide has been prepared by Milton Park Equities (trading as MPC Markets) ACN: 668 234 562 to inform you of the financial services provided by us and to comply with our obligations as a Corporate Authorised Representative (AR) of LeMessurier Securities Pty Ltd (LemSec) ABN 43111931 849, who is the holder of an Australian Financial Services Licence (Number 296877).

This FSG is designed to provide you with important information regarding our services prior to providing you with a financial services, including the following:

- Who we are and how you can contact us
- What services we are authorised to provide
- How we are remunerated for these services
- Any(potential) conflicts of interest we may have; and
- Our dispute resolution process.

If you would like further information, please ask us.

### **Other Documents**

In addition to the Financial Services Guide, you may receive other documents from us. If we make a recommendation to you in relation to a financial product (other than securities), we will provide you with a Product Disclosure Statement in relation to the financial product

The Product Disclosure Statement will contain information in relation to the features, benefits, risks, and fees associated with the financial product and should assist you in deciding whether to acquire the financial product.

### **Nature of Advice**

We are obliged to warn you that we will only provide you with general advice, which does not take account of your objectives, financial situation, or needs. Therefore, you are required to ensure that you obtain prior advice regarding the suitability of our products and services for you personal financial needs, objectives and circumstances, from a licensed professional.

While Milton Park Equities believes the advice and information we provide is accurate and reliable, neither Milton Park Equities, nor its directors, officers, employees, contractors, or associate assume any responsibility for the accuracy and completeness or currency of that advice and information.



## **Business Description**

Milton Park Equities provides general advice and arranges for the execution of trades in Securities, Derivatives, Futures and CFD products to retail and wholesale clients.

Milton Park Equities services allow you to trade market destinations worldwide including the USA, Australia, and Europe. Execution and clearing services for transactions executed through Milton Park Equities are provided by external parties.

LemSec and Milton Park Equities are responsible for the financial services provided to you under LemSec's Australian Financial Services License and we act under the authority provided by LemSec. LemSec and Milton Park Equities do not act on behalf of any other financial service licence.

## **Financial Services and Financial Products**

Milton Park Equities is a Corporate AR of LemSec. LemSec has authorised Milton Park Equities to provide retail and wholesale clients with general financial product advice and dealing services for the following classes of financial products

- Basic deposit products
- Derivates
- Securities
- Interests in managed investment schemes excluding investor directed portfolio services and
- Exchange Traded funds

## **How to provide instructions**

The method by which you will instruct us will vary depending on what type of financial service we are providing to you. We will accept instructions via email. You must check and confirm with us that orders sent via email, have in fact been received by us.

You must review any confirmation or statement we send to you immediately upon receipt to ensure its accuracy and report any discrepancies to us.

We will agree on an appropriate means for you to provide us with instruction.



## **Remuneration, Commission and Benefits expected to be received by Milton Park Equities for the provision of our financial service.**

Milton Park Equities advisers provide a wide variety of financial products and services, and the fees you pay can vary significantly between advisers. You may pay a once-off fee to attend an educational seminar or training workshop, or you may pay a monthly subscription for regular newsletter or portfolio management service. Some of our advisers will supply you with software to assist you in making trading decisions. You may pay an initial purchase price for the software, and ongoing fees for support and/or data feeds.

We also act as an 'introducing broker' (IB) to suitably licensed brokers or market makers who can perform dealing and execution services on your behalf. Where we refer you to a third party under an IB arrangement, we may receive a percentage of the ongoing brokerage or fees you pay as a monthly rebate, as authorised by you. These payments are deducted from the gross brokerage or fees you pay for these services.

Our advisers will clearly explain all fees payable by you prior to any advice or product being offered to you and where applicable, a tax invoice can be provided upon request.

Employees of Milton Park Equities, who provide you with advice or transaction execution, may receive commissions or other remuneration for the provision of these services, as authorised by you. Our employees may also receive salaries, performance bonuses and other benefits from us.

## **Privacy Policy**

Your privacy is important to us and we are committed to compliance with the Privacy Act and the Australian Privacy Principles. We may disclose your personal information to external parties for the purposes of execution, clearing and settlement of transactions, or those who act on our behalf in the operation of our business or in connection with the transaction to be undertaken.

Such external parties are required and committed to protecting your privacy and where they are off-shore we take reasonable steps to ensure that to the maximum extend reasonably possible any information sent has the same level of privacy protection as we provide here in Australia.

Milton Park Equities will not otherwise disclose your personal information without your consent, except as authorised or required by privacy laws. Please contact us via email provided if you have any concerns.



## **Disclosure of any Relevant Conflicts of Interest**

Subject to disclosures or transaction documents we provide, we do not have any relationships or associations which might influence us in providing you with our services.

Milton Park Equities has established relationships with other service providers to conduct business on your behalf. This does not affect your rights and obligations that you have with Milton Park Equities

Milton Park Equities may offer you financial products issued by its associates or third parties, which may include brokers and other AFSL holders

You will be provided with the appropriate disclosure documentation including an FSG and PDS in these instances.

## **Compensation and Insurance Arrangements**

As of the date of preparing this document, Lemessurier Securities Pty Ltd held and will continue to hold professional indemnity insurance that covers the conduct of both the current and past representatives. This cover complies with s912B of the Corporations Act.

## **Complaints**

If you have a complaint about our products or services you should notify the representative who provided you with that product or service. They will work with you to address your concerns and reach a satisfactory outcome

If you are not satisfied with the outcome of this process, you should contact LemSec's compliance officer directly on 0430624713 or at [hello@lemsec.com.au](mailto:hello@lemsec.com.au)

They will investigate your complaint and provide a written response to you within 45 days. If the matter is complex and a longer time is required, you will be contacted and notified.

Notification of complaints should be made in writing and addressed to:

Lemessurier Securities Pty Ltd,  
The Compliance Officer



712/335 Wharf Road Newcastle NSW 2300

If your complaint cannot be resolved to your satisfaction you have the right to have your complaint heard by the independent arbiter.

AFCA is an ASIC approved external dispute resolution scheme authorised to deal with complaints in relation to investment advice. You can contact AFCA by writing to :

**AFCA**  
**GPO Box 3**  
**Melbourne Vic 3001**  
**Ph: 1800 931 678**  
**Email: [info@afcaa.org.au](mailto:info@afcaa.org.au)**  
**Web: [www.afca.org.au](http://www.afca.org.au)**

#### **OUR CONTACT DETAILS**

**Milton Park Equities (Trading as MPC Markets)**  
**Level 19, 100 William Street, Woolloomooloo, NSW, 2011**  
**Invest@mpcmarkets.com.au**

**LeMessurier Securities Pty Ltd**  
**712/335 Wharf Road**  
**Newcastle NSW 2300**  
**Telephone: 0403 624 713**  
**Email [hello@lemsec.com.au](mailto:hello@lemsec.com.au)**