

# Investor Trade Financial Services Guide

Issue Date: 29/02/2024

## About this Financial Services Guide

This Financial Services Guide (**FSG**) is for the Investor Trade services provided by Computershare Dealing Services Pty Ltd ABN 76 085 801 350 (**Computershare Dealing Services**).

Computershare Dealing Services is an authorised representative (No. 473240) of CPU Share Plans Pty Limited ABN 20 081 600 875 (AFS Licence No. 309884) (**CPU Share Plans**). The terms **we**, **our** or **us** refer to Computershare Dealing Services.

This FSG is an important document. It provides you with information about us to help you to decide whether you want to use the financial services offered by us. It provides you with important information about:

- who we are;
- how you can contact us;
- the services we offer you;
- the remuneration, commissions and other benefits that we receive in respect of the financial services we provide;
- any relationships we have with other organisations affiliated with us or with product issuers that may influence us when providing services to you; and
- details of how to make a complaint.

## Who we are

We provide financial services to you as an authorised representative of CPU Share Plans.

Computershare Dealing Services and CPU Share Plans are members of the Computershare group of companies which is headed by Computershare Limited ABN 71 005 485 825, a company listed on the Australian Securities Exchange (**ASX**).

## Financial services we are authorised to provide

As an authorised representative of CPU Share Plans, we are authorised to provide the following financial services to both retail and wholesale clients:

- custodial or depository services other than an Investor Directed Portfolio Services (**IDPS**); and
- dealing in:
  - derivatives;
  - interests in managed investments schemes (excluding IDPS); and
  - securities.

## Services we provide

Computershare Dealing Services provides the Investor Trade service in which you are able to instruct us to arrange for the sale of your securities by an executing broker. We will, in providing the Investor Trade service, arrange to sell the securities for you.

To be eligible to use Investor Trade, you must hold your securities on the Issuer sponsored register of an entity that is listed on the ASX and Computershare Investor Services Pty Limited ABN 48 078 279 277 is the security registry provider for that entity. We may also impose other eligibility criteria for use of the service from time to time.

We are not a participant of the ASX. Your instructions will be provided by us to an executing broker who will execute the trade. The fees charged by the executing broker are included in the fees that we charge for using the service.

The Investor Trade service involves Computershare Dealing Services:

- receiving and processing your instructions to sell your securities through our online dealing facility;
- providing your instructions to the executing broker;
- under your authority, transferring your securities into an account in the name of Computershare Dealing Services for the purposes of effecting settlement of the sale of your securities; and
- receiving the proceeds from the sale of your securities into a trust account maintained by us and despatching the proceeds of sale (less applicable fees and charges) to you.

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## How to contact us and give instructions

Instructions to sell securities using the Investor Trade Service can only be provided via [www.investorcentre.com/investortrade](http://www.investorcentre.com/investortrade)

You can contact us in relation to the service we provide by mail, phone or by email.

Office address: 452 Johnston Street  
Abbotsford VIC 3067  
AUSTRALIA

Postal address: GPO Box 2975  
Melbourne VIC 3001  
AUSTRALIA

Phone Number: 1300 382 338 (Australia)  
+61 3 9415 4889 (overseas)

Email: [Web.Queries@computershare.com.au](mailto:Web.Queries@computershare.com.au)

## Insurance Arrangements

At the date of this FSG, Computershare Dealing Services is covered by Computershare Limited's professional indemnity insurance. Computershare Limited has also provided a guarantee for certain losses which may fall under relevant insurance deductibles.

These arrangements are considered to satisfy the requirements of section 912B of the *Corporations Act 2001*. This professional indemnity insurance covers work performed for Computershare Dealing Services by its current representatives/employees and those who have ceased to work for us for work done by them whilst engaged by us.

## Remuneration, commissions or other benefits

Unless otherwise stated, prices below are shown in Australian Dollars.

### Sale Fee

The sale fee for using the Investor Trade service is calculated as follows:

Individual	Sale Fee
Trades up to \$5,000	\$120 inc GST
Trades over \$5,000	\$120 + 0.33%^ inc GST

Joint Holder	Fee (AUD)
Trades up to \$5,000	\$145 inc GST
Trades over \$5,000	\$145 + 0.33%^ inc GST

^of the sale proceeds above \$5,000.

For example, an Individual holding with sale proceeds of \$10,000 will be charged a sale of \$136.50 (incl GST).

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## Other fees and charges

If you elect to receive your sale proceeds by cheque you will be charged a fee of \$15 (inc GST).

If you request that we reprint and post your trade confirmation statement to you, you will be charged \$55 (inc GST).

## Payment re-issue fee

If you require your payment to be re-issued, including because you are updating your payment instructions, you may be charged an administrative fee that will be deducted from each payment.

Fees are applicable to payments valued at over \$100, and the fee is \$25.00 (inc GST) for each payment.

You can access our Terms and Conditions via [cpu.vg/paymentreissueterms](http://cpu.vg/paymentreissueterms)

## Interest

We will hold proceeds from the sale of securities using the Investor Trade Service in trust accounts and will be entitled to retain any interest that is earned on monies held in those accounts.

## What to do if you have a complaint

We are committed to handling any complaints efficiently and fairly. Any complaints will be managed in strict confidence.

If you have a complaint, you should take the following steps to resolve it.

1. Contact us in writing at:  
Computershare Dealing Services  
C/- Incident Management  
GPO Box 2975  
Melbourne VIC 8060
2. If, after 30 days and despite our best efforts, your issue has not been resolved to your satisfaction, you are entitled to refer your complaint to the Australian Financial Complaints Authority (**AFCA**). AFCA is our approved dispute resolution scheme provider. It provides fair and independent financial services complaint resolution that is free to consumers.

You can contact AFCA at:

Address: GPO Box 3, Melbourne VIC 3001, Australia

Phone: 1800 931 678

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

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

## FSG does not constitute advice

The information presented in this FSG does not constitute investment or financial advice and no part of this FSG shall be construed as creating a fiduciary, financial or other advisory relationship between us and the recipient of, or any other person using the information in, this FSG. We will not be held liable for any decision made on the basis of the information contained in this FSG. We recommend that you seek independent professional financial advice which takes into account your objectives, financial situation and needs before deciding whether to use the Investor Trade service operated by Computershare Dealing Services.