

# Financial Services Guide

## Ironbark Asset Management Pty Ltd

Dated: 1 March 2023

### Entity

Ironbark Asset Management Pty Ltd  
 ABN 53 136 679 420 AFSL 341020  
 Level 14, 1 Margaret Street, Sydney NSW  
 2000

### Contact details

If you have an enquiry or would like more information about Ironbark Asset Management Pty Ltd, you can speak to an Ironbark representative, Monday to Friday (excluding public and bank holidays in Sydney).

#### Ironbark Client Services:



Phone: 1800 034 402



Email: [client.services@ironbarkam.com](mailto:client.services@ironbarkam.com)



Website: [www.ironbarkam.com](http://www.ironbarkam.com)

Write to us at Level 14, 1 Margaret Street, Sydney NSW 2000

### About this document

This Financial Services Guide ('FSG') is issued by Ironbark Asset Management Pty Ltd ('Ironbark', 'we', 'our' 'us'). It is an important document that we are required to provide to you under the terms of our Australian Financial Services Licence ('AFSL'). It provides important information to help you decide whether to use the financial services and products we are authorised to provide. This FSG outlines who we are and the types of services and financial products that we offer. It also explains how we are remunerated for these services and includes details of our complaints handling procedure and privacy policy.

### About Ironbark

Ironbark is a provider of asset management solutions. Ironbark seeks to build investment solutions that are relevant and meet the needs of its distributors and investors. To achieve this, Ironbark invests in quality people to help deliver the highest service standards.

Through our strategic partnerships with international and Australian fund managers, Ironbark provides investment solutions across a diverse range of asset classes including Australian and international securities, alternative investments, domestic and global property securities, and fixed interest securities.

### Our Authorised Services

When providing financial services under our AFSL, Ironbark acts on its own behalf as a financial services licensee and on behalf of its financial product issuer clients in the provision of advisory and investment management services. Our AFSL authorises us to provide financial services to retail and wholesale clients with regards to:

<b>Provide general financial product advice for:</b>	<ul style="list-style-type: none"> <li>• Deposit and payment products</li> <li>• Derivatives</li> <li>• Foreign exchange contracts</li> <li>• Debentures, stocks or bonds issued or proposed to be issued by a government</li> <li>• Interests in managed investments schemes excluding investor directed portfolio services</li> <li>• Securities</li> </ul>
<b>Deal in a financial product by issuing, applying for acquiring, varying or disposing of a financial product in respect of:</b>	<ul style="list-style-type: none"> <li>• Derivatives</li> <li>• Foreign exchange contracts</li> </ul>
<b>Deal in a financial product by arranging for another to issue, apply for, acquire, vary or dispose of a financial product in respect of:</b>	<ul style="list-style-type: none"> <li>• Securities</li> <li>• Interests in managed investments schemes excluding investor directed portfolio services</li> </ul>

**Deal in a financial product by applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of:**

- Deposit and payment products
- Derivatives
- Foreign exchange contracts
- Debentures, stocks or bonds issued or proposed to be issued by a government
- Interests in managed investments schemes excluding investor directed portfolio services
- Securities

## Other documents you may receive

### Product Disclosure Statement

Before you can acquire one of our financial products, you will receive a Product Disclosure Statement ('PDS'). The PDS contains important information about the financial product you are considering investing in and will help you make an informed decision about whether or not to acquire the financial product.

The PDS contains information such as:

- Benefits and risks involved in acquiring the financial product
- Fees and charges applicable
- Characteristics and features of the financial product
- Potential taxation implications
- Dispute resolution
- Any cooling-off rights

Any instructions you may wish to provide in relation to our financial products must be in writing as set out in the relevant PDS. Please read the PDS carefully. You can download a copy of the relevant PDS from our website or contact our Client Services team who will be able to assist you further.

### Statement of Advice

Our staff can only provide you with factual information and in some circumstances our staff may provide general financial product advice, as per our licence authorisation. We are unable to provide you with any personal advice. This means that your objectives, financial situation or needs will not be taken into account and accordingly a Statement of Advice will not be provided. If you require financial advice you will need to contact an authorised financial adviser. We do not warrant the suitability of any of the financial products or services described in this FSG.

## How we are remunerated for the services we provide

Ironbark does not charge any fees for the provision of general advice or other information concerning the funds issued by Ironbark. Ironbark does not receive any commission from any third parties for the provision of general advice. If you invest in a financial product distributed by Ironbark the financial product issuer will receive remuneration in relation to your investment in that financial product. This remuneration may include investment management fees, responsible entity costs, expense recoveries and incentive fees. The fees we receive vary across our financial products and details of the relevant fees are set out in the PDS for that particular financial product.

Where our financial products invest into an underlying fund, Ironbark shares a proportion of its management fees and incentive fees (where relevant) with the manager of the underlying fund. There is no additional fee incurred by the financial product. Similar arrangements are in place between

Ironbark and the manager of underlying funds, regardless of whether the manager of the underlying fund is a related party of Ironbark.

Where Ironbark acts on behalf of a third party financial product issuer, Ironbark is remunerated by receiving a percentage share of the management and/or incentive fees for the financial product and there is no additional costs to investors.

You may request further particulars about our remuneration and any other benefits by contacting us.

You may receive advice about our financial products and services from a financial adviser who is a representative of another licensee. These financial advisers may receive remuneration including fees, commissions and/or other benefits from us if you invest in one of our financial products. Your financial adviser will disclose all remuneration details in a Statement of Advice that they are required to give to you when providing personal financial advice.

### Our employees

Our employees are remunerated by salary and do not receive any commissions. They may be eligible for a bonus payment, which is discretionary and based on performance.

### Relationships and associations

The financial products distributed by Ironbark may be offered by an Ironbark owned company or an external licensee. From time-to-time Ironbark may engage the services of external parties to enable us to provide financial services described in this FSG. The costs of providing these financial services will be paid by Ironbark from the fees that are received and not separately remunerated by you.

## How to give instructions

Unless otherwise stated in the relevant PDS, it is required that you provide all instructions regarding your investment in writing to us, signed by you. Please refer to the relevant PDS for alternative means of providing instructions, if applicable.

## Compensation

We have an insurance policy in place which satisfies the requirements of section 912B of the *Corporations Act 2001* (Cth). Subject to its terms and conditions, the insurance policy provides cover for losses incurred by a client arising from the provisional services provided by Ironbark and its representatives even after they have ceased to work for Ironbark.

## Privacy

The privacy of your personal information is important to us. We have developed a Privacy Policy to ensure your personal information remains protected. Any personal information collected will be handled in accordance with our Privacy Policy. A copy of the Privacy Policy may be obtained by contacting us directly or visiting our website at [www.ironbarkam.com](http://www.ironbarkam.com).

## Complaint

Ironbark has a complaints handling procedure in place. Complaints may be received either verbally or in writing (letter, email or fax) as follows:

**Address:** Ironbark Asset Management Pty Ltd  
Level 14, 1 Margaret Street,  
Sydney NSW 2000  
**Phone:** 1800 034 402  
**Fax:** 02 9290 3120  
**Email:** [Client.Services@ironbarkam.com](mailto:Client.Services@ironbarkam.com)

Ironbark will acknowledge your complaint. We will use reasonable endeavours to resolve your complaint within 30 days. If you are not satisfied with our response or how we handled the complaint or we have not provided you with a decision within 30 days, you may refer your complaint to an external dispute resolution service.

Ironbark is a member of the Australian Financial Complaints Authority (AFCA). AFCA will independently review your complaint.

**Address:** Australian Financial Complaints Authority  
GPO Box 3, Melbourne VIC 3001  
**Phone:** 1800 931 678  
(9.00 am to 5.00 pm AEST weekdays)  
**Email:** [info@afca.org.au](mailto:info@afca.org.au)  
**Website:** [www.afca.org.au](http://www.afca.org.au)