



## **FINANCIAL SERVICES GUIDE**

### **GENERAL ADVICE ONLY Financial Service Guide:**

No Personal Advice is Given, Please Contact Financial Advisors/Planners for Personal Advice and product suits your personal Situations and Circumstances-.

No Statement of Advice Given

**Laverne Securities Pty Ltd (t/as) INVESTOR DESK**

**The Corporate Authorized Representative of Laverne Capital Pty Ltd (AFSL 482937)**

CAR Number : 001269781  
Licensee Details : Laverne Capital Pty Ltd  
ABN Number : 34 629 216 477  
AFSL No. : 482937  
Principal Business Address : Suite 6/96 Wigram Street, Harris Park, NSW 2150  
Phone : 1300 LAVERN (1300 528 376)  
Email : [info@investordesk.com.au](mailto:info@investordesk.com.au)

Laverne Capital Pty Ltd AFSL 482937 authorizes the distribution of this FSG. This Financial Services Guide (**FSG**) is an important document to help you understand and decide if you wish to use the financial services, we are able to offer you.

### **General Advice only**

Any advice given by Laverne Securities Pty Ltd is general advice only and does not take into account your specific needs or objectives. All of our commentary, statements of opinion and recommendations in relation to financial products have been prepared without taking into account your personal objectives, financial situations or needs. It is up to you to decide whether this is appropriate for you.

It provides you with information about Laverne Securities Pty Ltd (**Laverne Securities, us, our, we**) and the services we provide. Its purpose is to help you decide whether to use any financial service we offer and includes:

- ❖ What financial services and products we are authorized to provide to you.
- ❖ The costs of any services we may provide to you.
- ❖ How we (and any other relevant parties) are paid and any remuneration we may receive.
- ❖ Any relationships we have with any other organizations affiliated with us or with product issuers, which might influence us in providing financial services to you.
- ❖ Who to contact if you have a complaint and how such complaints may be dealt with?

## About Corporate Authorized Representative (CAR)

**Laverne Securities Pty Ltd** is a Corporate Authorized Representative of **Laverne Capital Pty Ltd** and the Corporate Authorized Representative Number is **001269781**.

### **Laverne Securities Pty Ltd (t/as) INVESTOR DESK**

**Office Address:** Suite 6/96-98 Wigram Street Harris Park NSW 2150

**Phone Number:** 1300 LAVERN (1300 528 376)

**Email Id:** [info@investordesk.com.au](mailto:info@investordesk.com.au)

## What kinds of Financial Products Laverne Securities is authorized to provide to you?

**Laverne Securities** is authorized to offer the following financial services to retail and wholesale clients.

- ❖ Provide General Financial Product Advice and
- ❖ Deal in Financial Products

We are authorized to provide general financial product advice and deals in:

- ❖ Managed Investment Schemes
- ❖ Securities

In providing our service, we strongly recommend you to take personal advice of a Financial Planner or Investment advisors with regards to how to invest money and discuss your personal situations and circumstances. For tax related matters seek advice of your accountants or taxation expert for the same. If you do not understand any of the information in this Financial Services Guide or have any other questions relating to the terms on which we will be acting, please contact us at above details.

### **Referral Partners:**

Laverne Securities may have an agreement with Financial Planners, Accountants and Mortgage Brokers as a Referral Partner and an ongoing Fees and Charges of 0-40% be paid based on relationship and volume of the business. **No Personal Advice be provided by Laverne Securities or its advisors.**

### **How are Laverne Securities paid?**

- The Platform Services Fees for trading of Securities will be charged by the respective brokers and paid back to Laverne Securities as an intermediately. This may be 0-15 Dollars/Transactions.
- Brokerage fees on trades executed via your HALO online trading account or on OpenInvest platform\*
- Other fees or benefits that are paid with your consent.

Intermediary of Halo Technologies Pty Ltd and OpenInvest Pty Ltd – Broker Dealer and Overseas Brokers for Execution of International Trades.

### **Investment Platform for Global Investing:**

**For Global Investing**, Laverne Securities Pty Ltd t/as Investor Desk has entered into agreement with Halo Technologies Pty Ltd (HALO Technologies). HALO Technologies Pty Ltd (HALO Technologies) is the providing entity for Global financial products and services offered by it as a corporate authorized representative under the Macrovue Pty Limited (Macrovue) Australian Financial Services Licensee. Macrovue Pty Limited is wholly owned by HALO Technologies Pty Ltd and both companies are ultimately wholly owned by HALO Technologies Holdings Limited ABN 73 645 531 219 and its

associated entities. HALO Technologies is not a broker or a participant of an exchange and will always engage a licensed third-party executing broker to effect transactions.

**For our model portfolios**, Laverne Securities Pty Ltd t/as Investor Desk has entered into agreement with OpenInvest Pty Ltd (AFSL504155). OpenInvest is the administrator and Responsible Entity of the OpenInvest Portfolio Service ARSN 628 156 052 (Service), an IDPS-Like managed investment scheme that is registered with ASIC.

For overseas and Indian Equity- NRI (Non-Resident Indian), the meaning is as per Securities and Exchange Board of India: A person of Indian origin whose parents or grandparents are of Indian origin can only open the accounts. A related bank accounts. Also, as the currency will be traded in local currency there is a forex element.

Laverne Securities, HALO Technologies and OpenInvest cannot guarantee that your trades will be executed either at all, within a particular timeframe or at a particular price. Laverne Securities, HALO Technologies and OpenInvest, and their related bodies corporate do not have any relationships with the issuers of financial products that might reasonably be expected to influence in providing any of the authorized services listed above.

For more information about the Service please refer to the relevant Product Disclosure Statement (PDS). The PDS contains information about the Service including its key features and benefits, risks, how it works, as well as the costs, fees and charges that Laverne Securities, Halo Technologies, OpenInvest and other parties may receive and what your rights and obligations are as an investor.

### **Privacy, Data Protection and AML/CTF Act compliance**

We have an obligation under the Anti-Money Laundering and Counter Terrorism Finance Act to verify your identity and the source of any funds. This means that we will ask you to present identification documents such as passports and driver's license. We will also retain copies of this information. We assure you that this information will be held securely.

Privacy Policy (<https://investordesk.com.au/wp-content/uploads/2023/10/Privacy-Policy-Investor-Desk.pdf>)

### **What should I do if I have a complaint?**

We are committed to providing quality advice to our clients. This commitment extends to providing accessible complaint resolution mechanisms for our clients. If you have any complaint about the service provided to you, you should take the following steps:

1. Contact Laverne Securities Immediately-  
**Coordinator: Pooja Tahiliani** - via phone no 0404 905 547  
Email: [pooja@lavernecapital.com.au](mailto:pooja@lavernecapital.com.au)
2. If your complaint is not satisfactorily resolved within 7 days, please contact **Laverne Capital Pty Ltd** and put it in writing to **Laverne Capital Pty Ltd** Suite 6/96-98 Wigram Street, Harris Park NSW 2150 via phone no 0425 308 313 Email: [vijay.raj@lavernecapital.com.au](mailto:vijay.raj@lavernecapital.com.au)
3. If we cannot reach a satisfactory resolution within a further 45 days you can send your complaint to AFCA – Australian Financial Complaints Authorities at GPO Box 3, Melbourne, VIC 3001. Their free call number is 1800 931 678. The Australian Securities and Investments Commission, (ASIC), also has a free call info line on 1300 300 630 which you may use to make a complaint or obtain information about your rights.