

Translation of Financial Services Guide

金融服务指南翻译版

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FINANCIAL SERVICES GUIDE

金融服务指南

BLUEMOUNT CAPITAL (QLD) PTY LTD

蓝山资本（昆士兰）有限公司

ABN 85 147 942 603

Corporate Authorised Representative

公司授权代表

of

授权公司

BR SECURITIES AUSTRALIA PTY LTD

澳大利亚 BR 证券有限公司

ABN 92 168 734 530

AFSL 456663

Effective Date: 1st November 2018

生效日期: 2018 年 11 月 1 日

About Us

关于我们

BR Securities Australia Pty Ltd (BR) is the holder of Australian Financial Services Licence ("AFSL") number 456663.

澳大利亚 BR 证券有限公司 (BR) 是澳大利亚金融服务执照 ("AFSL") 编号 456663 的持有人。

BlueMount Capital (QLD) Pty Ltd (BMCQ), is an Authorised Representative (number 398161) of BR.

蓝山资本 (昆士兰) 有限公司 (BMCQ) 为 BR 的授权代表 (编号 398161) 。

This Financial Service Guide (FSG) is designed to assist you in deciding whether to use BMCQ's services and includes such things as:

本金融服务指南 (FSG) 旨在帮助您决定是否使用 BMCQ 的服务，内容包括以下：

- who we are
- our services
- how we transact with you
- how we are paid, and
- complaint processes
- 我们是谁
- 我们的服务
- 我们如何与您交易
- 我们如何获取报酬，以及
- 投诉流程

BMCQ is the entity providing the AFSL authorized services to you.

BMCQ is an independent private company.

BMCQ's services will be offered under the BMCQ name.

BR is an independent private company owned by the directors of BR.

The distribution of this FSG by BMCQ is authorized by BR.

BMCQ 是向您提供 AFSL 授权服务的实体。

BMCQ 是一家独立的私营公司。

BMCQ 的服务将以 BMCQ 名称提供。

BR 是 BR 董事所拥有的独立私人公司。

BMCQ 分发此 FSG 由 BR 授权。

Contact Details of BR and BMCQ:

BR 和 BMCQ 的联系方式:

BMCQ Office: Level 5, 15 Astor Terrace, Spring Hill, QLD, 4000.

Phone: +61 7 3160 2840

Email: brisbane@bluemountcapital.com

BR Office: Level 2, 129 Robertson Street, Fortitude Valley, QLD, 4006.

Web Pages: <http://www.bluemountcapital.com>

<http://www.brsecuritiesaustralia.com.au>

BMCQ 办公室: Level 5, 15 Astor Terrace, Spring Hill, QLD, 4000.

电话: +61 7 3160 2840

电子邮件: brisbane@bluemountcapital.com

BR 办公室: Level 14, 344 Queen Street, Brisbane, QLD, 4000.

网页: <http://www.bluemountcapital.com>

<http://www.brsecuritiesaustralia.com.au>

What Financial Services are we authorised to provide to retail clients?

我们授权向零售客户提供哪些金融服务?

BR authorizes BMCQ to:

BR 授权 BMCQ:

Arrange deals on behalf of retail clients in relation to:

代表零售客户执行以下相关交易:

- Securities;
- Standard margin lending; and
- Managed Investment Schemes including Investor Directed Portfolio Services.
- 证券;
- 标准保证金贷款; 及
- 管理投资计划, 包括投资者指导的投资组合服务。

Our dealing service for retail clients

我们为零售客户提供的服务

BMCQ may arrange for you to deal in eligible initial offerings of listed and unlisted securities and BMCQ can arrange for you to buy or sell these securities.

BMCQ 可能会您安排处理符合条件的上市及非上市证券首次发售, BMCQ 可以安排您买卖这些证券。

Please note that BMCQ does not provide financial or general advice to retail clients and you should seek appropriate professional advice.

请注意, BMCQ 不向零售客户提供财务或一般建议, 您应该寻求适当的专业建议。

What Financial Services are we authorised to provide to wholesale clients?

我们授权向批发客户提供哪些金融服务？

BMCQ is also authorized by BR to provide the following services to wholesale clients.

BR 也授权 BMCQ 向批发客户提供以下服务。

Provide general advice in relation to:

提供以下相关的一般性建议：

- Securities;
- Standard margin lending; and
- Managed Investment Schemes excluding Investor Directed Portfolio Services.
- 证券;
- 标准保证金贷款; 及
- 管理投资计划, 除投资者定向投资组合服务。

Arrange deals in relation to:

安排处理以下相关的交易：

- Securities;
- Standard margin lending; and
- Managed Investment Schemes including Investors Directed Portfolio Services.
- 证券;
- 标准保证金贷款; 及
- 管理投资计划, 包括投资者指导投资组合服务。

How are we paid?

我们如何获取报酬？

BMCQ may receive a distribution fee from the issuer of securities initiated via an eligible offer document, subject to the conflicted remuneration laws.

BMCQ 可能会通过符合条件的要约文件从证券发行人处收取分发费, 受冲突薪酬法律制约。

BMCQ may receive a fee for advising an issuer of securities via an eligible offer document. Fees will generally be disclosed via the offer and/or will be disclosed to you when relevant.

BMCQ 可能会通过符合条件的要约文件向证券发行人收取建议提供费用。该费用通常会通过优惠披露费用和/或在相关时向您披露。

Associations and Relationships

关联和关系

BR, BMCQ, its directors and related parties are independent service providers. BMCQ will disclose to you if there are any pecuniary interests relating to BMCQ offers and BMCQ's representatives may subscribe to securities on offer.

BR、BMCQ、其董事及关联方均为独立服务提供商。如果有任何与 BMCQ 要约有关的金钱利益，BMCQ 将向您披露，BMCQ 的代表可认购所提供的证券。

Complaints

投诉

If you have a complaint about BMCQ's service you should contact your BMCQ representative and tell them about your complaint. The representative will follow BR's internal dispute resolution policy, which includes sending you a copy of the policy when required to. If you aren't satisfied with an outcome, you may contact AFCA, see below.

如果您对 BMCQ 的服务有任何投诉，您应该联系您的 BMCQ 代表并告之您的投诉。该代表将遵循 BR 的内部争议解决政策，其中包括在需要时向您发送政策副本。如果您对结果不满意，可以联系 AFCA，见下文。

BR is a member of the Australian Financial Complaints Authority (AFCA). AFCA provide fair and independent financial services complaint resolution that is free to consumers.

BR 是澳大利亚金融投诉局（AFCA）成员。AFCA 为消费者提供免费的公平和独立的金融服务投诉解决方案。

Website: www.afca.org.au
Email: info@afca.org.au
Telephone: 1800931678 (free call)
In writing to: Australian Financial Complaints Authority,
GPO Box 3, Melbourne, VIC, 3001.

网站: www.afca.org.au
电子邮件: info@afca.org.au
电话: 1800931678 (免费电话)
写信至: 澳大利亚金融投诉局,
GPO Box 3, Melbourne, VIC, 3001。

Professional Indemnity Insurance

专业弥偿保险

BR has in place Professional Indemnity Insurance which satisfies the requirements for compensation under s912B of the Corporations Act.

BR 设有专业弥偿保险，以满足《公司法》第 912B 条规定的赔偿要求。