Asenna Wealth Solutions Pty Ltd

Financial Services Guide

Date: 9 February 2022
Version 1.3

FINANCIAL SERVICES GUIDE

Introduction

This Financial Services Guide ("FSG") is dated 9 February 2022 and is provided to you by Asenna Wealth Solutions Pty Ltd (ACN 155 544 460) ("Asenna Wealth Solutions", "we", "our", "us", "Providing Entity") to inform you of the financial services provided by us and to comply with our obligations as an Authorised Representative (number 421884) of Amplus Global Pty Ltd ("Amplus Global") (ACN 162 631 325), the holder of Australian Financial Services ("AFS") Licence number 505929.

The distribution of this FSG by Asenna Wealth Solutions has been authorised by Amplus Global.

Amplus Global Pty Ltd

707A The Scenic Road
MacMasters Beach NSW 2251

Telephone:	(02) 4396 3561
Mail:	PO Box 6269
	Kincumber NSW 2251
Web:	**www.amplusglobal.com.au**
Email:	info@ amplusglobal.com.au

This FSG is meant to assist you to decide whether to use our services and to explain:

- Who we are.
- What financial services we provide and the products to which those services relate.
- What our responsibilities are and what type of advice we give.
- How you can instruct us.
- What you can expect to pay for the financial services.
- What remuneration and other benefits may be paid to us, our employees or others.
- Relationships and associations.
- What to do if you have a complaint – and how it will be dealt with.
- For what purpose we use your contact data?
- How you can contact us.

This FSG contains only general information about the services we offer. If you still have any questions after reading this FSG, please contact us. Our contact details are listed at the end of this document.

What other disclosure documents and statements will I receive?

Since Asenna Wealth Solutions is not authorised to provide you with personal financial product advice, there is no requirement for you to be provided with a Statement of Advice ("SOA").

Pursuant to Section 1012D of the *Corporations Act 2001* (Cth) ("the Act"), we are not required by law to provide you with a Product Disclosure Statement ("PDS"). Should you engage the services of an applicable financial product issuer, then they will be obligated to provide you with a PDS or other relevant disclosure documents that include information about the financial product so that you can make an informed decision as to whether to acquire the product. It would include any relevant terms, significant risks and costs associated with the supply of that financial product.

How you can instruct us and your obligations?

We will accept your instructions in person, via telephone, letter, email or other applicable electronic device.

You must check and confirm with us that instructions sent electronically, have in fact been received by us.

Who are we and what services are we authorised to provide?

Amplus Global is the holder of AFS Licence number 505929 with authorisations to provide the following financial services:

Provide financial product advice for the following classes of financial products:

- Deposit and payment products limited to:
    - Basic deposit products
- Derivatives
- Foreign Exchange Contracts
- Interests in managed investment schemes excluding investor directed portfolio services
- Securities

Deal in a financial product by issuing, applying for, acquiring, varying or disposing of a financial product in respect of following classes of financial products:

- Interests in managed investment schemes limited to:
    - MDA services

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

- Deposit and payment products limited to:
    - Basic deposit products
- Derivatives
- Foreign Exchange Contracts
- Interests in managed investment schemes excluding investor directed portfolio services
- Securities

to retail and wholesale clients.

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Provide general financial product advice for the following classes of financial products:

- Derivatives
- Securities

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

- Derivatives
- Securities

to retail and wholesale clients.

What are our responsibilities and what type of advice do we give?

Asenna Wealth Solutions undertakes research in certain financial products and provides recommendations for its clients to consider. Advice is principally disseminated by electronic means – for example, SMS or email. Clients are then given the opportunity to place orders in regard to the applicable financial products on a non-discretionary basis.

Asenna Wealth Solutions believes the information contained in its communications is correct. All information, opinions, conclusions, estimates or recommendations provided are included with due care to its accuracy; however, no representation or warranty is made as to their accuracy, completeness, or reliability.

Asenna Wealth Solutions disclaims all liability and responsibility for any direct or indirect loss, or damage, which may be incurred by any recipient through any information, omission, error, or inaccuracy contained within any recommendation.

Asenna Wealth Solutions and / or its associates may hold interests in the entities mentioned in any posted report or recommendation, but any such holding has not influenced the provision of financial product advice.

Any advice is general in nature and has not taken into account the objectives, financial situation or needs of any person. We encourage you to consult a professional adviser to help you form your own opinion of the information and on whether the information is suitable for your individual objectives and needs as an investor. Where necessary, you should obtain a PDS relating to the product and consider it before making any decision about whether to acquire the product.

Trading derivatives, especially on margin, carries a high level of risk, and may not be suitable for all investors. The high degree of leverage can work against you as well as for you. Before deciding to invest in certain derivative products, such as futures and CFDs, you should carefully consider your investment objectives, level of experience, and risk appetite. The possibility exists that you could sustain a loss in excess of your deposited funds and therefore you should not invest money that you cannot afford to lose. You should be aware of all the risks associated with these products and seek advice from an independent financial advisor if you have any doubts.

The costs, remuneration and other benefits that may be received by us, or our employees and others

The information in this section is subject to change and does not include information in relation to taxes or duties that you may be required to pay in relation to an investment. Unless otherwise stated, all fees, charges, commissions and benefits disclosed in the FSG include Goods and Services Tax ("GST") and are subject to change.

Asenna Wealth Solutions currently offers its subscription service at no cost to its clients. The views expressed in any recommendation are those of the representative providing the advice and no part of the compensation received by the representative (directly or otherwise) is directly related to the inclusion of specific recommendations or opinions.

Asenna Wealth Solutions derives its revenue from the following fees and charges:

Trades placed as a result of being given general advice attract a 1.1% fee.

Asenna Wealth Solutions charges the following commission rates for orders placed in regard to securities and derivatives trading.

	Online Trading	**Telephone Trading**
Trades up to $20,000	$55.00	$55.00
Trades above $20,000	0.275%	0.275%

Asenna is remunerated through commission rebates generated from transactions with certain approved online trading platforms. Asenna will receive up to 90% of commission rebates from equity and CFD transactions completed with the operators of these trading platforms.

Alternately you and your adviser may choose to enter into a fee based arrangement whereby you will pay up to a per annum fee up to 2.5% based on the value of assets that are managed on your behalf. This fee will be negotiated by you and your adviser, and will be agreed in writing at the time when your account is opened. The fee is calculated on a per annum basis and may be charged monthly or quarterly in arrears.

To assist you in making an informed decision we will discuss with you and agree on any fees payable before providing a service. The Act requires us to fully disclose all fees and charges, so if you are in doubt please ask us to explain.

Our employees, directors, associates and any other relevant persons, may in turn be remunerated on a commission basis, in addition to their salary, for the services provided to you.

Asenna Wealth Solutions may have contractual relationships with related bodies corporate, including any associates of the above. All such dealings, where applicable, are conducted on an arm's length basis.

Relationship and associations

Other than commercial dealings on an arm's length basis, Asenna Wealth Solutions (or any representative or associate) does not maintain any associations or relationships with an issuer of any financial product.

Asenna Wealth Solutions may arrange for you to be supplied with financial services and products issued by non-related product issuers. Asenna Wealth Solutions may receive a fee, commission payment, or other form of remuneration, or other benefits from these non-related issuers as a result of you investing in one of their products or services. These relationships in no way influence the provision of financial services by Asenna Wealth Solutions to you.

Asenna Wealth Solutions, its representatives and associates, do not maintain any associations or relationships that might reasonably be expected to be capable of influencing Asenna Wealth Solutions in providing any of the authorised services.

If you have a complaint, how it will be dealt with?

If you wish to make a complaint, the Director, Assad Tannous can be contacted on 1800 273 662 or at admin@asenna.com.au. You may also choose to contact the licensee – Amplus Global, whose details are disclosed above.

Asenna Wealth Solutions has a formalised client complaint resolution procedure. All complaints are reviewed and investigated by our Compliance Officer. If you make a complaint, our first response will be to contact you to discuss the complaint and to register a formal record of such complaint. We will try to resolve your complaint quickly and fairly.

If, despite our best efforts, you believe your complaint has not been satisfactorily dealt with, we offer clients the use of an independent industry arbiter, namely, Australian Financial Complaints Authority ("AFCA").

You can contact AFCA by writing to:

Australian Financial Complaints Authority

GPO Box 3
Melbourne VIC 3001
Toll Free: 1800 931 678
Website: www.afca.org.au

The AFCA website also permits you to register or lodge a dispute online.

Professional Indemnity Insurance

Our compensation arrangements comply with the legal requirements set out in Section 912B of the Act and ASIC Regulatory Guide 126. As required, we maintain professional indemnity insurance coverage in relation to the financial products and services we provide. Our coverage includes any claims in relation to the conduct of present and former representatives and/or employees.

For what purpose do we use your contact data?

Privacy is an important use for us and we are committed to ensuring full compliance with Privacy Act requirements.

The personal data that we collect from you will only be used by us to assist in the planning of marketing proposals, training and education requirements and the provision of product advice to clients.

How you can contact us?

Telephone: 1800 ASENNA (1800 273 662)
Fax: (03) 9510 4076
Address: Level 7, 564 St Kilda Road
Melbourne Victoria 3004
Web: www.asenna.com.au
Email: admin@asenna.com.au