Ascent Private Wealth
Financial Services Guide

ACN 115 198 742 | Authorised Representative No: 328222 **Version number: 21.02**

PART TWO – ADVISER PROFILE

This adviser profile is Part Two of the Count Financial Limited Financial Services Guide (FSG) dated 2 June 2021 and should be read in conjunction with Part One of our FSG dated 1 June 2021. Together these documents form the complete FSG.

Ascent Private Wealth Pty Ltd ATF Ascent Private Wealth Unit Trust (trading as Ascent Private Wealth) is an Authorised Representative of Count Financial Limited (Count).

Our firm's adviser(s) listed below will provide the financial services set out in this guide, in their capacity as Authorised Representatives of Count.

Our contact details:

Address: Suite 103, 12 Cato Street Hawthorn East VIC 3123
Phone: +61 3 9672 5111
Email: enquiries@ascentpw.com.au
Web: www.ascentpw.com.au

Alan Morey

Authorised Representative Number: 241907

Alan is an Authorised Representative of Count and an employee of Ascent Private Wealth, and receives a salary and bonus subject to KPI performance.

Alan has 40 years of experience in the financial services industry and has been providing clients with tailored personal financial advice for over 20 years. Alan Morey attained a Bachelor of Economics from Monash University in 1978 and a Master of Applied Finance from Melbourne University. Alan has also attained the internationally recognized designation of Certified Financial Planner (CFP™) as a member of the Financial Planning Association. In addition, Alan is an accredited SMSF Specialist Advisor (SSATM) of the SMSF Professionals Association (SMSF Association).

Alan has over 40 years' experience in the Financial Services industry and has been providing clients with tailored financial advice for over 40 years.

Financial services and product types

Alan is authorised to provide advice in the following areas:

- Deposit and Payment Products
- Government Debentures, Stocks and Bonds
- Life Products
- Managed Investment Schemes
- Retirement Savings Accounts Products
- Securities
- Superannuation

How to contact me: enquiries@ascentpw.com.au or +61 3 9672 5111

Initial consultation	This is usually at our expense, although under some circumstances, for example, where the consultation takes more hours than usual and you are not willing to proceed with a Statement of Advice, an agreed hourly charge may apply. We will inform you this at the beginning of the consultation and your consent will be obtained.
Strategy presentation fee	When strategy papers are prepared these would be charged for at an hourly rate and potentially rebated against the cost of advice when agreement is obtained to prepare a Statement of Advice. The present hourly rate is $330 (incl. GST). An estimate will be provided to you including a preferred payment option and how our fee is calculated.
Advice preparation	Prior to the provision of personal advice, we will agree upon a preferred payment option and disclose how our fee is calculated. We will provide you with a quote for our services before we undertake any work on your behalf. Below is a summary of our fees if you elect to pay us a fee for our services. **Service based charging** The fee for the preparation of our advice is calculated based upon a fixed price agreement. This fixed dollar amount will vary based upon the complexity of advice being provided and agreed upon prior to commencement. The minimum fee for this is $1,100 (incl. GST) unless otherwise agreed. If you decide not to implement our recommendations, the fee for the preparation of the Statement of Advice will be payable in full.
Implementation fee	In the majority of cases, the implementation of our advice is complimentary. However, in certain scenarios, for example, where more hours are expected to be required than usual in relation to a large amount of in specie transfer of funds, or where a service of ongoing management of portfolio is offered in the advice but you do not wish to accept this service, the following time basis fee may apply (all fees are GST inclusive): • Adviser - $330 per hour • Paraplanner and other Support Staff - $220 per hour The fees will depend on the size of the investment portfolio and the complexity of the advice. In these instances, we will inform you of the exact fee payable in the prepared Statement of Advice.
Ongoing service fees	Our ongoing advice fees vary depending on scope and complexity and range from $1,100 p.a. while the maximum is 1.1% (including GST) of the value of your portfolio under management each year (excluding any borrowed amounts), unless otherwise agreed. The exact cost of the ongoing review service will depend on the level of complexity of the review offering that is agreed upon. The actual fee will be quote per plan and per ongoing service agreement. We will recommend an appropriate review package of services in light of your circumstances. We also have tailored review services that are available upon request. If you elect our ongoing review services, the ongoing service fee is based on the complexity of ongoing advice and services provided. You will be able to access to our highly reputed process, which can include up to three client-centric review meetings per year, ten (10) key deliverable, comprehensive financial monitoring process and access to our bespoke Ascent Private Wealth Tailored Portfolios. Should you require any additional services outside of any agreement between you and your adviser, an amount of up to $330 per hour may be applicable and an estimate will be provided before we undertake this work. **Borrowed funds** For investing with borrowed funds, a dollar-based component of the fee will apply as I do not charge a percentage fee on investing with borrowed funds. We will inform you of the exact fee before we undertake this work. The ongoing service fee is collected monthly through the product issuer or paid directly by you via credit card, cheque or direct debit.
Ad hoc advice and supplementary service fees	Where you enter into an Ongoing Service Arrangement, supplementary services are included, and will not be provided at an additional cost. Where you do not wish to participate in an Ongoing Services Agreement but require ongoing advice on and hoc basis, and/or advice outside the scope of an existing agreement, such as the provision of general research material, or the completion of administrative tasks, a time basis fee may apply as below:

- Adviser - $330 per hour
- Paraplanner and other Support Staff - $220 per hour

All fees are GST inclusive and an estimate total will be provided before we commence the work.

Non-advisory implementation fees	We provide a financial service to facilitate buying or selling of a specific financial product as instructed by you. If we assist you on an execution only basis (i.e. where you have been offered and declined advice), a one-off fee at a maximum of $330 per hour (including GST) will apply.
Referral arrangement	I do not have a referral arrangement in place. If you have been referred to me by a third party and you use our services, we will not receive any benefit from the third party, nor pay the third party any fee. I may refer you to a third party for advice or services. Should this occur, you are not obliged to consult the professional person I have suggested, but where you do, I do not receive any referral fee or other benefit from the business transacted on your behalf.
Other associations and relationships	I do not have any other business associations or relationships at all, so there is nothing external that would impact on any advice or service that would be performed for you..