



Adam Kiley Trading as TSI Capital Pty Ltd (First Mover)

# Financial Services Guide

# FINANCIAL SERVICES GUIDE

Adam Kiley trading as TSI Capital Pty Ltd (First Mover)

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TSI Capital Pty Ltd (First Mover) is an Authorised Representative (AR [458224](#)) of Intelligent Financial Markets Pty Ltd (AFSL [426359](#)).

## Issue Date

This Financial Services Guide (FSG) is dated 15 May 2018 and replaces all previous versions. Adam Lee Kiley (hereafter known as TSI Capital Pty Ltd (First Mover)) along with Intelligent Financial Markets Pty Ltd [AFSL [426359](#)] (hereafter known as IFM) authorise the distribution of this FSG.

## About this guide

This Financial Services Guide (FSG) is an important document that is designed to tell you about:



## FINANCIAL SERVICES GUIDE

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If you need further information on any of these matters, please ask.

# FINANCIAL SERVICES GUIDE

## 1. Who we are

### About us

TSI Capital Pty Ltd (First Mover) is a Financial Services business facilitating Advisory Services to Australian Domiciled Retail and Wholesale Clients in Securities only. Information provided by TSI Capital Pty Ltd (First Mover) is of a general nature and is prepared without taking account of any client's objectives, financial situation or needs. You should consider seeking the advice of relevant taxation, superannuation, and/or other relevant advisors before the information is acted on.

We will not provide advice on classes of financial products other than those identified in TSI Capital Pty Ltd (First Mover) authorisations through the Licensee, IFM. The licensee is ultimately responsible for the advice provided and services offered to clients of TSI Capital Pty Ltd (First Mover).

Reports are posted on our website to assist clients who are participating in the Australian share market. The articles contain general share market recommendations and educational articles only. Clients are able to analyse and adjust the information contained in these articles to their own situation. A key advantage of the system is that clients are able to access our advice from any computer in the world. This means that the client is not tied to a particular computer and is able to access our advice at anytime, anywhere.

### What are our authorisations?

TSI Capital Pty Ltd (First Mover) is authorised to provide general financial product advice on the following products;

- Managed Investments and Securities ONLY

TSI Capital Pty Ltd (First Mover) is authorised to provide these advisory services to retail and wholesale clients within Australia.

### Who is your advisor?

TSI Capital Pty Ltd (First Mover) is your Adviser and is an Authorised Representative (AR. [458224](#)) of Intelligent Financial Markets Pty Ltd (AFSL [426359](#)).



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## 2. How you can contact us

### Contact details:

If you do not have a nominated advisor, you can contact us at:

TSI Capital Pty Ltd (First Mover)

Address: **Level 1**  
**513 Hay Street,**  
**Subiaco WA, 6008**

Phone: **+61 (0)8 9388 8812**

Email: [admin@tsicapital.com.au](mailto:admin@tsicapital.com.au)

Website: [www.firstmover.com.au](http://www.firstmover.com.au)

## 3. Services we offer

As the Licensee, IFM is responsible for the advice you receive from us. If your advisor is unable or unwilling to provide you with advice or services in respect of certain products, the advisor will refer you to another representative of IFM, who should be able to assist you.

### General financial advice

We will only offer you general financial advice. You should note that general financial advice does not relate specifically to you and therefore may not be appropriate to your particular financial needs, objectives and financial circumstances.

You need to take this into account before deciding whether or not to act on it.

## 4. Required information

### What do we expect from you?

We expect that you will provide us with accurate information that we request so that we have a reasonable basis on which to provide you with general advice.

We expect that you will use our advice to enable you to make informed financial decisions.



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As an authorised financial service provider, 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 IFM requires that we ask you to present identification documents such as passports and driver's license. IFM will also retain copies of this information. We assure you that this information will be held securely.

### **What are the possible consequences of not providing this information?**

You are of course at liberty to decline to provide some or all of this information, but if you do not provide it, any recommendations we make may not be appropriate to your needs and objectives. In certain cases, your failure to provide information may place us in a position where we cannot provide any advice or any financial services to you.

### **5. Costs and remuneration information**

#### **How are we paid for the services we provide?**

Adam Kiley / TSI Capital Pty Ltd (First Mover) charges its clients a fee for the preparation and publishing of video reports posted on its website(s).

#### **What are the fees, commissions or other benefits?**

Employees of TSI Capital Pty Ltd (First Mover) are remunerated in a variety of ways including salary, wages and bonuses.

#### **Do any relationships exist which might influence the service or advice I receive?**

Adam Kiley / TSI Capital Pty Ltd (First Mover) is not owned by any Fund Manager or institution. TSI Capital Pty Ltd (First Mover) is remunerated by its clients which are the subjects of the Video Reports. There is a perceived conflict of interest for viewers of the Video and they are warned of this conflict of interest on the TSI website and during the video presentations.

#### **Will you give me advice that is suitable to my investment needs and financial circumstances?**

No. Adam Kiley is only authorised to give General Advice in respect to Securities.

#### **What should I know about any of the risks of the investment recommendations made to me?**

Adam Kiley / TSI Capital Pty Ltd (First Mover) is authorised by Intelligent Financial Markets Pty Ltd to provide general financial product advice only. General advice includes information contained in our reports and information about the outlook of the markets. The information provided on our website does not provide advice about products suitable for your particular needs, objectives or financial circumstances, even if we may have commented in view of the current or future market conditions or prospects for the securities.



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This information does not constitute personal investment advice and it has been prepared without taking into account your objectives, financial situation or needs.

You should always consider the appropriateness of the advice, in light of your own objectives, financial situation or needs before acting on the advice. You should consider and discuss this information with your financial adviser before making your own investment choice.

### **What information do you maintain you maintain in my file and can I examine my file?**

As pre regulatory requirements, IFM is required to hold all information you provide for a period of 7 years. You may view information held by making a request.

### **How can I give you instructions regarding my account?**

You may specify how you would like to give us instructions, for example, by telephone, fax or other means of communication.

### **What compensation arrangements are in place and are these arrangements compliant?**

Adam Kiley / TSI Capital Pty Ltd (First Mover) confirms that arrangements are in place both through TSI Capital Pty Ltd (First Mover) and the Licensee (IFM) to ensure that it continues to maintain Professional Indemnity Insurance in accordance with Section 912 B of the Corporations Act 2001, (as amended). In particular the Professional Indemnity Insurance, subject to its terms and conditions, provides indemnity up to the sum insured for the Licensee and its authorised representatives in respect of our authorisations and obligations under the Australian Financial Services License.

## **6. Complaints**

### **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 your advisor immediately.
2. If your complaint is not satisfactorily resolved within 7 days please contact TSI Capital Pty Ltd (First Mover)'s authorising licensee (Intelligent Financial Markets Pty Ltd) on Phone 1300 735 125 or +61 (0)3 9021 0420 or put it in writing and email to: [cs@ifmtrade.com](mailto:cs@ifmtrade.com)



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3. If we cannot reach a satisfactory resolution within a further 45 days you can raise your concerns with the Financial Ombudsman Service on 1300 78 08 08. 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.