

The Green Fund Pty Ltd

Financial Services Guide

Date: 22 July 2019

Version 1.1

FINANCIAL SERVICES GUIDE

Introduction

This Financial Services Guide (“FSG”) is dated 22 July 2019 and is provided to you by The Green Fund Pty Ltd (ACN 623 690 362) (“The Green Fund”, “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 1277069) 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 The Green Fund has been authorised by Amplus Global.

Amplus Global Pty Ltd

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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 The Green Fund 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.

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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.

The Green Fund is an Authorised Representative of Amplus Global and is only permitted to provide the following financial services:

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

- Securities

to retail and wholesale clients.

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

The Green Fund is a global research house providing information, newsletters and recommendations in regard to domestic and international securities. The Green Fund primarily focuses on the marijuana industry.

This is due to the fact that the industry is seeing unprecedented growth due to the decriminalisation of cannabis on a global scale. Medicinal marijuana has now been approved for some time across various states in the United States of America as well as other jurisdictions such as Canada, Australia and Germany.

By undertaking its own research, The Green Fund offers clients with a subscription service in regard to securities involved in the cannabis industry.

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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.

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 are exclusive of the Goods and Services Tax (“GST”) and are subject to change.

The Green Fund currently offers its subscription service at no cost to its clients. The views expressed in any report or recommendation are those of the analyst writing the report and no part of the compensation received by the analyst (directly or otherwise) is directly related to the inclusion of specific recommendations or opinions.

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.

The Green Fund 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

The Green Fund may receive remuneration from entities which may be the subject of articles, reports or recommendations which The Green Fund provides to its client base.

Other than commercial dealings on an arm’s length basis, The Green Fund (or any representative or associate) does not maintain any associations or relationships with an issuer of any financial product.

The Green Fund may arrange for you to be supplied with financial services and products issued by non-related product issuers. The Green Fund 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 The Green Fund to you.

The Green Fund, its representatives and associates, do not maintain any associations or relationships that might reasonably be expected to be capable of influencing The Green Fund 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, Mark Bernberg can be contacted on 0450 020 300 or at contact@thegreenfund.com. You may also choose to contact the licensee - Amplus Global, whose details are disclosed above.

The Green Fund 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”).

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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: 0450 020 300

Address: 9 Collins Avenue
Rose Bay NSW 2029

Web: www.thegreenfund.com

Email: contact@thegreenfund.com