PEAK
ASSET MANAGEMENT

FINANCIAL SERVICES GUIDE



CoPeak Corporate Pty Ltd

Copeak Corporate Pty Ltd <The Trustee for Peak Asset Management Unit Trust> (ACN 632 277 144), is an authorised representative of Dayton Way Securities Pty Ltd (ACN 143 257 532) (Dayton Way Securities) under its Australian Financial Services Licence No. 382585 (AFS Licence).

39/55 Collins Street, Melbourne, VIC 3000, Australia

Website: http://www.peakassetmanagement.com.au

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Purpose and content of this Financial Services Guide:

This Financial Services Guide (FSG) has been prepared by ASG and is an important document which provides you with information about ASG to help you decide whether to use Our financial services.

This FSG contains information on:

- Who we are and how we can be contacted;
- The services we offer;
- How we, our representatives and other parties involved in providing the financial services are paid in relation to the services we offer;
- Potential conflicts of interest
- Compensation arrangements; and
- Internal and external dispute resolution procedures and how you can access them.

Dayton Way Securities has authorised the distribution of this FSG.

Business Description:

Dayton Way Securities Pty Ltd (ACN 143 257 532) (Dayton Way Securities) under its Australian Financial Services Licence No. 382585 (AFSLicence) under which it is licensed to provide general and personal financial product advice about, and deal in, certain financial products on behalf of retail and wholesale clients.

Address: Level 10, 32 Martin Place Sydney, NSW, 2000, Australia
Email: dsutton@mcfaddenssecurities.com.au

The services Peak offers:

Peak is authorised pursuant to an agreement with Dayton Way Securities as the licensee to deal in and offer general advice about the following classes of financial products: basic deposit and payment products, and securities. When providing any of these authorised services, Peak does so as an authorised representative of Dayton Way Securities.

Getting personal advice:

When we provide you with general advice about products and services, the advice will be provided without investigating or commenting on their suitability for you. We do not provide personal or specific advice. You should consider the appropriateness of the advice provided in light of your own objectives, financial situation or needs.

We are obligated to warn you that our general advice provided to you as a retail client does not take into account your objectives, financial situation or needs. Where relevant, to assist you in making an informed decision about a particular financial product, you will be provided with a disclosure document such as a prospectus or product disclosure statements (PDS) supplied by the product issuer, who will give you information about that product.

How you may provide instructions to Us:

You may give us instructions by telephone, in person and in writing (including email and fax where authorised by us) in relation to any of our services and transactions for execution. Please note that your telephone conversations with us may be recorded.

However, we reserve the right to request written instructions from you relating to the subject matter of your instructions where necessary and where subject to the terms and conditions of any applicable agreement with you.

Remuneration:

The cost of services provided to you can be a combination of fees and charges paid directly to us and may be dependent upon the level or type of service you require, the financial product being traded, and the size of the transaction/s.

Applicable rates will be disclosed and agreed with you, prior to us providing any services or acquiring any products for you on your behalf.

Any fees, rebates or commissions paid to us by you or a product or service provider will be disclosed to you in detail in a separate document, such as the PDS or Fee Disclosure Statement, if and when required prior to your implementation of the recommendations.

If you are transacting with us for execution only purposes you acknowledge that it is your responsibility to obtain and read our relevant Schedule/s of Fees with respect to the specific services, we supply to you.

If trades are executed via the Self Wealth platform, a charge of 0.65% of order value is applicable on the transaction, in addition to a flat $9.50 charge from Self Wealth.

Do we receive or pay referral fees?

Where we have referred you to another professional to provide you with financial services, we may receive a referral fee from that service provider.

You may have been referred to us by a services provider who may receive financial or non-financial benefits from us. This should have been disclosed to you by the service provider in question. Please note that any such benefits will not impactfees charged to you by us or the price you will be offered for any other product.

As an authorised representative Peak pays a licensing fee for our services.

How are our representatives remunerated?

Representatives who provide advice are employees of Peak. They are paid a salary for their services. In addition, they may receive bonuses based on individual performance that may be influenced by meeting certain sales, compliance, customer service quality and other targets. Employees may also receive options and/or shares from time to time as part of remuneration on Peak deals.

Co-Investment Model:

Our "co-investment" model involves a minimum hold of 28 days from the time the placement has been announced via the Trading Halt to the ASX and minimum co-investment of 0.5% of deal size, provided that Peak doesn't cut itself to give a better allocation to the end client(s).

Commissions and other benefits from third parties:

We may receive a proportion of the brokerage transaction fee and other transaction related charges as a rebate from the organisation undertaking or executing the transaction. The rebate can vary and may be subject to minimum trans- action levels. The range is between 0% - 100% (for example if brokerage is $100 We can receive up to $100 in rebates).

Where We have arranged for you to invest in certain third party financial products We may receive a combination of upfront and/or trail commission, up to 7 % p.a. of the market value, from respective product issuers (for example if your fund balance is $1,000 We can receive up to $70 in trail commission).

Trading, advice and research:

Peak or our representatives may have interests in particular financial products, research subjects or derivatives through various roles. In addition, we or our representatives may buy or sell the financial products or research subjects and derivatives and as such may affect transactions which are not consistent with recommendations provided to you by your advisor at Peak.

Do We have any relationships or associations with financial product providers?

We have commercial arrangements in place with various product and or service providers to enable us to execute transactions and provide financial service and products on your behalf. Any related fees and charges are described in this FSG.

We may be in a commercial relationship with Company's or Entities on which we are providing you with advice on. If we believe a conflict may arise, we will advise you prior to providing such product or service.

We do not have any other relationships or associations which might influence us in providing you with our services.

We may also receive handling fees of up to 8% (of the amount invested) for arranging share placements (including initial public offerings) from product issuers.

From time to time, we may receive other benefits from underlying product issuers such as conferences, subsidised training and research. Our policy is to limit "soft dollar" arrangements. In addition (if received) We maintain a soft dollar register for these types of payments and ensure they accord with industry practice.

We may charge you administration fees in relation to certain services. Such fees will be disclosed to, and agreed with, you prior to the service being provided and charged to you. All referral fees, rebates and commissions will be disclosed to you and paid as required and permitted by law.

What are the compensation arrangements?

In line with section 912B of the Corporations Act 2001, We have adequate professional indemnity insurance in place to cover Us for the financial services we provide. The scope of the insurance includes any claims relating to the conduct of our representatives even if those representatives are no longer employed by us at the time of a claim.

What can I do if I have a complaint?

If you have a complaint about the financial services provided, you should first contact the person at Dayton Way Securities who provided the service to you. If the complaint cannot be resolved in the first instance, you should contact Us in writing at the following address:

Dispute Resolution Officer
Dayton Way Securities Pty Ltd
Level 10, 32 Martin Place Sydney, NSW, 2000, Australia

When your complaint is received it will be entered onto our complaints register. The matter will be investigated by our Dispute Resolution Officer. If our Dispute Resolution Officer is unable to reach a satisfactory resolution within 45 business days of receipt, you have the right to refer the matter to:

Australian Financial Complaints Authority Limited
GPO Box 3
Melbourne, VIC 3001
P: 1800 931 678
https://www.afc a.org.au/

Privacy:

The privacy of your personal information is important to us and we are committed to the promotion of our Privacy Policy. We must ensure privacy and security of your personal information in accordance with our Privacy Policy. You can obtain acopy of the policy on request or it is available on Our website (http://www.peakassetmanagement.com.au).

Any questions?

If you have any further questions about Our financial services, please contact an Dayton Way Securities representative at dsutton@mcfaddenssecurities.com.au

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www.peakassetmanagement.com.au

info@peakassetmanagement.com.au

Call us at 1300 304 460