

## FINANCIAL SERVICES GUIDE ACKNOWLEDGMENT & ONGOING SERVICE AGREEMENT

### SECTION A: LICENSEE INFORMATION

Legal Entity Name	APEX WEALTH MANAGEMENT PTY LTD
ABN / AFSL Number	42 156 789 012 / 234567
Principal Place of Business	Level 15, Waterfront Tower, 201 Kent Street, Sydney NSW 2000 [cite: 71, 73]

### SECTION B: AUTHORISED REPRESENTATIVE

Representative Name	Michael James Chen (AR 234567-001) [cite: 76]
Qualifications	Bachelor of Commerce, DFP, Certified Financial Planner® (CFP®) [cite: 76]
Compliance Manager	Sarah Williams [cite: 76]

### SECTION C: CLIENT INFORMATION

Primary Client	Mr. James Robert Henderson (DOB: 15/03/1968) [cite: 75]
Joint Client	Mrs. Sarah Louise Henderson (DOB: 22/08/1970) [cite: 75]
Residential Address	Unit 12, 456 Pacific Highway, St Leonards NSW 2065 [cite: 75]

### SECTION D: FSG ACKNOWLEDGMENT

I/We acknowledge receipt and understanding of the following documents: [cite: 78, 86]

- Financial Services Guide (FSG) Version 8.2 [cite: 88, 92]
- Fee Schedule & Privacy Policy Statement [cite: 91, 93]
- Complaints Handling & Compensation Summary [cite: 87, 95]



## SECTION F: FEE DISCLOSURE STATEMENT

Disclosure of fees pursuant to Section 962G of the Corporations Act 2001. [cite: 82, 97]

### Initial Advice Fees

SOA Preparation Fee (Invoice #INV-2019-04728)	\$4,400.00
Implementation Fee	\$2,200.00
<b>Total Initial Fees (PAID)</b>	<b>\$6,600.00</b>

### Ongoing Service Fees (Estimated FY 2024-25)

Portfolio Management Fee (0.85% p.a. on \$1,916,954.09)	\$16,344.11
Fixed Annual Administration Fee	\$900.00
<b>Total Estimated Ongoing Fees (incl. GST)</b>	<b>\$17,244.11</b>

## SECTION G: ONGOING SERVICE AGREEMENT

Frequency	Description of Ongoing Services [cite: 90]
Quarterly	Performance Reviews, Rebalancing, & Telephone Consultations [cite: 79, 81]
Annual	Comprehensive Strategy Meeting & Fee Disclosure Statement (FDS) [cite: 90, 98]
As Required	Ad-hoc advice, Market updates, & Insurance reviews [cite: 79, 91]

## SECTION H: CONSENT & AUTHORITY

I/We authorize the deduction of agreed fees from the Cash Management Account and grant authority for the adviser to execute transactions within the agreed strategy. [cite: 81, 98]



## SECTION L: DECLARATION & SIGNATURES

By signing below, I/we acknowledge receipt of the FSG and consent to the ongoing fee arrangements. I/we understand our right to opt-out at any time with 30 days notice. [cite: 100, 101]

James Henderson [cite: 103]

**James Robert Henderson**

Date: 15 / 07 / 2024 [cite: 104, 105]

Michael Chen [cite: 109]

**Michael James Chen (Adviser)**

Date: 15 / 07 / 2024 [cite: 110, 111]

Sarah Henderson [cite: 106]

**Sarah Louise Henderson**

Date: 15 / 07 / 2024 [cite: 107, 108]

Sarah Williams [cite: 112]

**Sarah Williams (Compliance)**

Date: 15 / 07 / 2024 [cite: 113, 114]

**Verification:** Document COMP-APX-04728-FSG-2024. Meets Corporations Act 2001 (Sections 941, 942, 962) and ASIC Regulatory Guide 175 requirements. [cite: 98]

