ECP

Financial Services Guide

Version	1
Date Issued	27 July 2026
Relates to	ECP Asset Management Pty Ltd
Document type	Financial Services Guide
Purpose	To assist retail clients in deciding whether to use the financial services offered by ECP Asset Management.

Redefining
Active Investing
ecpam.com

Level 4, The Pavilion
388 George Street
Sydney NSW 2000

T: +61 2 8651 6800
F: +61 2 8651 6899

ABN: 26 158 827 582
CAR: 441986
AFSL: 421704

Contents

Financial Services Guide

ECP Asset Management Pty Ltd ACN 158 827 582 is a Corporate Authorised Representative ("CAR") number 441 986, of EC Pohl & Co Pty Ltd ACN 154 399 916 Australian Financial Services Number 421 704 ("AFSL").

The purpose of this Financial Services Guide

It is aimed at assisting our retail clients to decide whether to use any of the services that we offer. It provides important information about:

- Who we are and our contact details,
- the financial products and services we offer
- our associations and relationships with other entities,
- the remuneration that we may receive,
- the remuneration others are paid in connection with the services we provide,
- any conflicts of interest,
- our complaints handling processes and procedures and
- our fees and charges.

Our financial services and financial products

ECP Asset Management is authorised to provide general financial product advice in the following classes of products:

- Interests in Managed Investment Schemes including investor directed portfolio services Operated or Issued by either EC Pohl & Co Pty Ltd, EC Pohl & Co RE Limited

  to retail clients

ECP Asset Management is also authorised to provide other financial services to wholesale clients which is out of scope for this FSG.

If you choose to use our financial services and products as a retail client, you may receive other important documents. These may include:

Product Disclosure Statement (PDS)

A PDS is a document that describes a financial product, its key features and the benefits, fees and risks associated with it. We will provide you with a PDS if we recommend certain financial products to you. This document should help you make an informed decision about whether to acquire a financial product.

Statement of Advice (SOA)

An SOA is generally provided to a retail client when personal advice has been given. It is designed to enable you to make an informed decision on whether to proceed with the recommendations that have been proposed. ECP Asset Management is not authorised to provide personal advice to retail clients.

General Advice

When we provide you with advice called General Advice, also known as product advice. This advice will not take into account your personal objectives or needs. Before making an investment decision based on general advice, you need to consider whether the advice is appropriate to your particular circumstances, personal financial objectives and needs.

Outsourcing

We may, from time to time, outsource functions including investment research and stockbroking services. The licensee, EC Pohl & Co monitors the performance of all external providers to ensure they are operating in accordance with the EC Pohl & Co External Services (Outsourcing) policy and the service level agreements in place to measure performance.

EC Pohl & Co will also monitor and assess the performance of all selected fund managers (internal and external) to ensure they are meeting performance benchmarks.

EC Pohl & Co must ensure that competent investment management staff, experienced in funds management, will have charge at all times.

Other Fees

We may charge fees for the services and products we provide. We will disclose all retail fees, commissions and benefits that we receive in a relevant disclosure document.

The fees payable to ECP Asset Management for our services and products may include the following:

- **Brokerage:** a transaction-based fee for any trades that we (or external brokerage companies) perform on your behalf. In some circumstances you may also be charged clearing fees, interest, administrative or related transaction costs, such as off market transaction fees.
- **Investment advice fee:** an ongoing fee may be charged for the investment advice services provided by your adviser
- **Placement/contribution fee:** a fee may be charged on any new funds invested
- **Portfolio fee/management fee:** an ongoing asset-based fee may be charged on any investments that we manage in our managed portfolio services
- **Administration fee:** a fee may be charged for administration, management and reporting services
- **Custody fee:** an asset-based fee may be charged in assets that are held in custody on your behalf.

In the event any of these fees are chargeable they will be disclosed to you and agreed prior to charging.

Remuneration and other benefits

ECP Asset Management staff are all salaried employees. Our representatives (including Directors) may be eligible to receive bonuses and other benefits, subject to meeting targets related to their position.

Employees may receive, from time to time, other benefits including a discounted ticket to attend a work-related conference or seminar, a work-related lunch/dinner or discounted information technology or support services directly related to the provision of financial services. In all instances, the benefit must be less than $300 in value and recorded in the gifts and benefits register. If you would like to request a copy of this register, please contact your adviser and we will make this available to you.

Associations and Relationships

All portfolio recommendations we make are based on independent research and analysis provided by reputable companies.

ECP Asset Management Pty Ltd provides investment analysis and related specialist services. ECP Asset Management Pty Ltd is a subsidiary company and Corporate Authorised Representative of EC Pohl & Co Pty Ltd.

EC Pohl & Co RE Limited is the Responsible Entity for registered and unregistered management investment schemes where ECP Asset Management or other related entities may be the appointed investment manager.

EC Pohl & Co has a relationship with Super Network Financial Services Pty Ltd; EC Pohl & Co will refer retail clients for investment and superannuation advice. Super Network Financial is a Corporate Authorised Representative (AR No. 461 918) of Andika Pty Ltd. AFSL 297 069 a non-related entity.

EC Pohl & Co may make a recommendation to our clients to invest in a Listed Investment Company that ECPAC is the investment manager of or where there is a professional relationship between the entities. These investments include (but are not limited to) the following investments:

- Flagships Investments (ASX:FSI)
- Barrack St Investments (ASX:BST)
- Global Masters Fund Limited (ASX:GFL)
- Athelney Trust (LSE: ATY)

Compensation

EC Pohl & Co maintains a professional indemnity insurance policy that meets the requirements of s912B Corporations ACT 2001 (Cth).

Instructions

You may provide ECP Asset Management or EC Pohl & Co with instructions regarding your investments. We will only be obliged to comply with instructions that we agree to in writing.

How to contact us

ECP Asset Management Pty Ltd

By mail:
Level 4, The Pavilion
388 George Street
Sydney NSW 2000

By telephone: 02 8651 6800

Our website:
https://ecpam.com/contact

EC Pohl & Co Pty Ltd

By mail:
Level 12, Corporate Centre One
2 Corporate Court
Bundall QLD 4217

By telephone: 07 5644 4400

Our website: https://www.ecpohl.com/contact/

Privacy

EC Pohl & Co and its related entities maintain all personal information in accordance with our Privacy Policy and the Privacy Act 1988 (Cth). A copy of our privacy policy is available on our website at www.ecpam.com

Anti - Money Laundering (AML) and Counter-Terrorism Finance (CTF)

EC Pohl & Co is required by to complete identification checks and verify the sources of investible monies of all new and existing clients in accordance with the AML CTF Act 2006 (Cth). All sensitive information is held in the strictest confidence in accordance with our Privacy Policy.

Complaints

EC Pohl & Co is dedicated to ensuring that any client complaint that we may receive is managed in an efficient and professional manner.

If you have any concerns about the service provided to you, please speak to your client services contact. If you are not satisfied with the outcome, please contact our complaints officer:

Complaints Officer
EC Pohl & Co Pty Ltd
PO Box 7536, Gold Coast MC QLD 9726

External Complaints Service

If you believe your complaint has not been resolved and wish to seek further advice, you may contact the Australian Financial Complaints Authority (AFCA).

Email: info@afca.org.au

Tel: 1800 931 678 (free call)

Mail: Australian Financial Complaints Authority GPO Box 3, Melbourne VIC 3001