

# Brookline Financial Services Pty Ltd

## Financial Services Guide

ABN 27 161 200 773 | Authorised Representative No: 000434448 AFSL 227232

Version number: 21.00

### PART TWO – ADVISER PROFILE

This adviser profile is Part Two of the Count Financial Limited Financial Services Guide (FSG) 1 June 2021 and should be read in conjunction with Part One of our FSG dated 1 June 2021. Together these documents form the complete FSG

John Traficante trading as Brookline Financial Services Pty Ltd is an Authorised Representative of Count Financial Limited (Count).

The individual listed in this FSG is authorised by Count to provide personal advice through Brookline Financial Services Pty Ltd.

#### Our contact details:

Address: 19 - 21 Napier Street, Essendon VIC 3040

Phone: 0426 241 741

Email: [john@brooklinefs.com.au](mailto:john@brooklinefs.com.au)

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

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#### John Traficante

#### Authorised Representative Number: 000434449

John is an Authorised Representative of Count and a Director of Brookline Financial Limited Pty Ltd.

John has 20 years of experience in financial services and 10+ years' experience in the provision of financial planning advice.

#### John has the following qualifications:

Diploma of Financial Services (Financial Planning), Kaplan Professional (2012)

Graduate Diploma in Applied Finance & Investment, Securities Institute (2001)

Bachelor of Social Sciences (Information Management – Major Accounting, University of Melbourne (1995)

#### Financial services I can provide:

- Wealth Creation
- Financial Planning
- Investment Planning
- Retirement Planning
- Superannuation and Rollovers
- Life and Disability Insurance
- Estate Planning
- Portfolio and Insurance Reviews

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**John is authorised to provide advice in the following areas:**

- Deposit and payment products
- Government debentures, stocks and bonds
- Life products
- Managed investment schemes
- Margin Lending Facility
- Retirement Savings Accounts
- Securities
- Superannuation.
- SMSF

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**Advice preparation and implementation fee**

Prior to the provision of personal advice we will agree upon a preferred payment option for both parties. Below is a summary of our available payment options that can be combined to pay for our services.

Where we are aware that you have used borrowed funds (ie funds that are either secured or unsecured) to invest through us, we will charge you a flat dollar fee.

These fee options include:

**Service based charging**

- i) The fee for the preparation and implementation of our advice is calculated based upon a fixed price agreement. This fixed dollar amount will vary based upon the complexity of advice being provided and agreed upon prior to commencement. Our minimum fee for this is \$550 (incl. GST) up to a maximum of \$20,000 (incl. GST).

**Asset based charging**

- i) The fee for the preparation and implementation of our advice is calculated as a percentage of the dollar amount advised upon. Our minimum fee for this is \$550 and the maximum fee is \$20,000.

**Life insurance**

- ii) The fee for the preparation and implementation of our advice is calculated as a percentage of the premium amount paid. The maximum fees are based on the commission payments detailed in the section titled 'Our fees and other costs' in Part 1 of the FSG under 'Life Insurance Products'.

If you decide not to implement our recommendations, the fee for the preparation of the Statement of Advice will be payable in full.

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**Supplementary service fees**

For supplementary services, such as the provision of general research material or the completion of administrative tasks, our fee will be calculated on a time basis of \$500 per hour.

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**Ongoing service fees**

Our ongoing advice fees vary depending on scope and complexity and range from \$550 to \$20,000 or 1% of the asset value unless otherwise agreed. The exact cost of the ongoing review service will depend on the review offering we recommend and this will be disclosed within the Ongoing Service Agreement we provide to you.

We will recommend an appropriate review package in light of your circumstances.

Should you require any additional services outside of any agreement between you and your adviser, an amount of up to \$500 per hour, may be applied.

With respect to platforms, as Licensee, Count may receive an ongoing fee which may be tiered based on the value of your portfolio of up to 0.6% pa.

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**Non-advisory implementation fees**

**Managed investments and bank accounts:** A fee of up to \$150 per transaction (excluding any non-rebateable component of fund manager fees) may be applied, plus any applicable ongoing commission paid by the product provider.

**Share transactions:** A fee of 1.5% (includes both adviser and broker charges) of the amount to be invested will be applied, subject to a minimum of \$150.

**Wealth protection:** A fee as detailed in Schedule 2 (Retail Insurance) in the Advice Preparation and Implementation Fee - Insurance section above applies for this service.

**Other:** If we assist you on an execution only basis (ie where you have been offered and declined advice), a fee of up to \$500 may be applied.

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**Other associations and relationships**

John Traficante is a director and shareholder of Brookline Finance, RDV Financial Services, SLC Financial Services and Dobbyn and Carafa Insurance which are separate entities. Referrals may pass between these entities. Whilst there is no direct payment received by either party, there may be a potential financial benefit received by the owners of either business as a result of fees charged for services provided to the referred party.

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**Other costs**

All fees and commissions will be disclosed in your Statement of Advice. Count may also charge transaction fees in respect of particular products. These include the following:

- Where trades are executed using our approved stockbrokers, Count charges a Transaction Fee in addition to the brokerage charged by the broker. This fee ranges from \$25 to \$29.
- For listed securities held off platform \$110 pa for non-advised portfolios and up to 0.22% pa for advised portfolios.

In addition to the commissions outlined above, we may also receive the following fees and/or commissions in respect to particular products.

**Schedule 4 (Margin lending)**

We receive an ongoing commission in relation to margin loan facilities and it is calculated at 0.55% of your loan balance.

**Schedule 5 (Term deposits and cash)**

We receive an ongoing commission of up to 0.44% of your account balance.

**Schedule 6 (Protected equity investments)**

We receive an upfront commission of up to 1.375% and ongoing commission of 0.55% of your investment amount.

**Schedule 7 (Intra-fund advice)**

Count may receive payments from the trustee of a superannuation fund with which it has entered into an intra-fund services agreement. Intra-fund refers to the type of advice that a superannuation trustee can provide to members where the costs of the advice is borne by all members of the fund. These payments will generally be up to \$80 p.a. per member and are paid periodically to Count. Count may pass a portion of this payment on to me.

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