

FINANCIAL SERVICES GUIDE

This financial services guide was last updated on 25 July 2011 and issued by Tarfaya Nominee Pty Limited, trading as The Rivkin Report. Tarfaya Nominee Pty Limited ABN 20 041 416 796, Australian financial services licence no. 247373

Purpose and content of this document

This Financial Services Guide (FSG) is designed to assist you in deciding whether to use any of the financial services offered by Tarfaya Nominee Pty Limited (us, we, our).

In particular, this Financial Services Guide (FSG) contains information about:

- a) How you may give us instructions
- b) The kinds of financial services that we provide and the financial products to which those services relate
- c) How we, our staff and other relevant persons are paid for the financial services offered
- d) How complaints against us are dealt with

Authorised Financial Services

We are authorised to carry on a financial services business to provide general financial product advice to retail and wholesale clients for the following classes of financial products:

- derivatives limited to old law securities options contracts and warrants;
- interests in managed investment schemes excluding investor directed portfolio services; and
- securities.

Who Will Be Providing You With Financial Services?

We act on our own behalf when we provide financial services to you and not as an agent or representative for anyone else.

The advice in The Rivkin Report has been prepared without taking account of any particular person's investment objectives, financial situation or needs. Therefore, before acting on the advice, you should consider the appropriateness of the advice, having regard to your objectives, financial situation and needs. There may be a product disclosure statement or other offer document for the securities and financial products we write about in The Rivkin Report. You should obtain a copy of the product disclosure statement or offer document before making any decision about whether to acquire the security or product.

Tarfaya Nominee Pty Limited does not have any relationships or associations with any financial product providers that influence or could reasonably be expected to influence us in the provision of financial services that we are licensed to provide. Our staff are required to comply with a staff trading policy, details of which are available on The Rivkin Report website. The Rivkin Report Investment Team's holdings in securities are disclosed in every issue of The Rivkin Report. Our internal compliance regime is intended to prioritize the interests of our members over ourselves.

Brokerage

Tarfaya Nominee Pty Limited does not offer a broking service and therefore cannot buy or sell financial products on your behalf.

Risks

There are risks with all securities. Their price may fall as well as rise and there is a chance you could lose your entire investment. We assign risk ratings to the securities we recommend in The Rivkin Report. These risk ratings are general in nature. As indicated above, we provide general financial advice only. Historical performance of The Rivkin Report recommendations is not a guarantee to future performance.
Maintaining Your Contact Details On File

We keep your name, address, phone and email details as well as a log of our correspondence with you on our database. Your credit card details are also held on file in an encrypted format for processing purposes. You can change or remove your details from our database upon request.

How We Are Paid And Other Benefits

Tarfaya Nominee Pty Limited operates a subscription based business. When subscribing you will be required to pay a subscription fee according to the period of time you join for. The amount we receive by way of subscription monies varies depending on the subscription period nominated by each subscriber. The amount is \$899 for a one year subscription, \$1500 for a two year subscription and \$1995 for a three year subscription, subject to discounts or specials that apply from time to time.

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Tarfaya Nominee Pty Limited and/or its associates may also receive commissions from companies that are raising capital. If they do, the amount of commission is usually expressed as a percentage and ranges from 0.5% to 2.5% of the amount of capital raised from Publication subscribers. For example, if a Publication subscriber applied for \$1000 worth of shares in a company that was raising capital, then we would be eligible to receive between \$5 and \$25. The commission is paid to us in the form of shares or options in the company or via electronic payment or cheque within 30 days of the completion of the capital raising. Whenever we are to receive a commission in connection with a particular capital raising, it will be disclosed in The Rivkin Report.

Employees and Directors

All employees of Tarfaya Nominee Pty Limited receive a salary or wage. They may also be entitled to a performance-based bonus.

Complaints

If you have a complaint or concern, you should contact us on (02) 8302 3600 or put your complaint in writing and send it to Kristian Dibble or the Executive Director, Tarfaya Nominee Pty Limited, PO Box 1524, Double Bay NSW 1360. We will endeavour to resolve your complaint quickly and fairly.

We are a member of the Financial Ombudsman Service (FOS), and if your complaint cannot be resolved to your satisfaction you have a right to complain to the FOS.

Financial Ombudsman Service

GPO Box 3, Melbourne, VIC 3001

Toll free: 1300 780 808

Facsimile: (03) 9613 6399

Website: www.fos.org.au

Contact Details

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