



A Complete Financial Service Solution

2020

Executive Summary

Excellence in Governance and Compliance provides for Opportunity and Growth

Founded in 2003 Guildfords is a boutique financial services company. We have been offering advisory and dealing services for over a decade to a broad range of financial services clients in a variety of industries including property, agriculture, logistics, and covering areas of expertise including managed investment schemes, securities, derivatives, foreign exchange contracts and custody.

Guildfords Advantage in Partnering with other Professional Service Providers



Our Services

Guildfords Companies offer an extensive suite of services

Guildfords provides traditional compliance services while maintaining a modern and innovative outlook in terms of areas of business and mode of delivery. Our team achieves results, through designing and implementing objective and practical strategies, with a focus on providing a variety of reducing risk for clients across a variety of domains.



AFS Licensing
and Compliance
Management



Trustee and
Incidental
Custodian
Services

AFS Licence No. (471379)



Funds
Management
(MIS)



Managed
Investment
Schemes,
Derivatives and
FOREX

AFS Licence No. (247858)

Based in Australia, we operate throughout the Asia Pacific region with strong business partnerships particularly in Singapore, China, the middle east and the US Guildfords believes that success is not only achieved by creating collaborative and inclusive partnerships with our clients, but paying attention to the detail and risks of our clients' business.

Guildfords Funds Management Pty Ltd

A.C.N. 602 779 993

Guildfords Funds Management's AFS Licence No. 471379 Wholesale Authorisations:

General Financial Product Advice:

- Deposit Products (Basic/ Non Basic)
- Managed Investment Schemes (excl. IDPS)
- Securities

Dealing Services by Issue:

- Managed Investment Schemes (excl. IDPS)
- Securities

Dealing Services on Behalf of Others :

- Deposit Products (Basic/ Non Basic)
- General Insurance Products
- Managed Investment Schemes (excl. IDPS)
- Securities

Guildfords Funds Management provides compliance services for:



**Corporate Authorised
Representatives**



**Managed Investment Schemes(excluding
IDPS) specialising in Property**



**Trustee and Incidental
Custodial Services**

Guildfords Markets Pty Ltd

A.C.N. 074 938 364

Guildfords Markets' AFS Licence No. 247858 Wholesale Authorisations:

Financial Product Advice:

- Deposit Products (Basic / Non Basic)
- Derivatives
- Foreign Exchange Contracts
- Debentures, stocks or bonds issued or proposed to be issued by a government
- Securities

Dealing Services by Issue:

- Derivatives

Dealing Services on Behalf of Others :

- Deposit Products (Basic / Non Basic)
- Derivatives
- Foreign Exchange Contracts
- Debentures, stocks or bonds issued or proposed to be issued by a government
- Securities

Guildfords Markets provides compliance services for:



Equities listed on various established securities exchanges (Domestic/International)



CFD's for various equities offered



"Off Exchange" products including:

- CFD's in respect of commodities, metals, indices
- Crypto currencies

AFS Licensing

Guildfords has successfully written and varied 50+ AFS Licences

Guildfords specialises in the creation and submission of FS01 documentation for clients seeking AFS Licences across a variety of sectors, such as:

- Insurance
- Mortgages
- Funds Management
- Residential and Commercial Property
- Stockbrokerage
- Agricultural Investments
- Derivatives (OTC, EFT)
- FOREX

For clients who already possess an AFS Licence, Guildfords further assists in achieving variations surrounding licence conditions, authorisations, and Responsible Managers.

FS01 Client	AFSL No.	Sector
Guildfords Markets	247858	Derivatives
Keystone Underwriting	518224	Insurance
EBN Holdings	518220	Insurance
Avitz Financial	514021	Legal/Contributory Mortgages
Gauge Lending	507753	Legal/Contributory Mortgages
CS & Co Management	495639	Legal/Contributory Mortgages
Millpoint Insurance	506127	General Insurance
Cullen Capital	230633	Funds Management
Rockworth Capital	483942	Funds Management/Property
MV Anderson	481626	Accounting & Professional Services
Guildfords Funds Management	471379	Funds Management/Property
Aust. Pacific Dairy Company	459215	Agricultural Investments
APD Capital	457453	Residential and Commercial Property
Focal Point Developments	452498	Residential and Commercial Property
Nexia Melbourne (Hayes Knight)	460701	Accounting & Professional Services
Aviator Capital	432803	Residential and Commercial Property
Pontier Group	439555	Residential and Commercial Property
Brinca Property Management	427277	Residential and Commercial Property
Cashel Financial Services	306803	Stockbroking and Financial Services
Linear Capital	416327	Commercial Property
Cygnets Funds Management	241095	Stockbroking and Funds Management
Cygnets Securities Australia	241095	Funds Management
APD Projects	444076	Residential and Commercial Property
State Development Fund	278742	Funds Management/Property

Trustee and Incidental Custodian Services

Guildfords has extensive experience providing trustee services

Guildfords currently provides services as the trustee and/or incidental custodian of 8 national and international trusts.

- Advice/dealing by issue units in unregistered wholesale managed investment schemes ("MIS")
- Dealing on behalf of others in MIS, Derivatives and FOREX
- Incidental Custodial Services
- Depository Services
- Dealing by issue in MIS (excl. IDPS), Derivatives

RESIDENTIAL PROPERTY



Title Capital

COMMERCIAL PROPERTY



FUND OF FUND



INTERNATIONAL PROPERTY



LENDING



FOREX



COMMERCIAL PROPERTY DERIVATIVES (OTC)



DERIVATIVES (OTC)



Trustee and Incidental Custodian Services

Guildfords has developed a CPMS system to ensure compliance, particularly for Authorised Representatives

Guildfords authorises A/R's under the AFS Licence of Guildfords Funds Management and Guildfords Markets. In addition to enabling firms to conduct their financial services business, Guildfords provides ongoing compliance and monitoring to ensure adherence to all ASIC regulations. As such, Guildfords has gained expertise in the management of A/R's in different market sectors. In addition, we offer assistance to licensees in monitoring A/R's in different sectors, such as:

- Insurance Broking
- Mortgage Broking
- Stockbroking
- Derivatives
- Property
- Lending
- Agriculture
- FOREX

Compliance Management System

To facilitate the compliance management of AFS Licensees and Authorised Representatives, Guildfords has implemented an online compliance management system

A one stop shop for all compliance needs, this system is an Enterprise Quality risk management software conforming to ISO 31000:2018/IEC 31010:2019, enabling you to manage Compliance and Risk.



ASIC RG 132: Compliance and Oversight

RG 132 outlines the key elements that constitute an effective and responsive CPMS which enables an AFS Licensee to demonstrate compliance to its relevant obligations.

What is a CPMS?

- Under RG 132.33 an integrated system comprised of written documents, functions, processes, controls and tools that help an organisation comply with its legislative requirements, industry codes, standards of good corporate governance, best practices, ethics and community expectations.
- Responsible entities of registered schemes, wholesale schemes, investor directed portfolio services, manages discretionary accounts, and Australian passport funds must each have a compliance management system.

Key features of a CPMS:

1. The context of operations
2. Relevant values, objectives and strategy
3. What compliance obligations risks and objectives exist
4. Roles and responsibilities of those people involved in the CMS
5. Organisational support required for the CMS
6. Compliance controls that will respond to the identified compliance obligations, risks and objectives
7. Appropriate documentation and record keeping
8. Monitoring and review of the CMS for continual improvement
9. Procedures dealing with non compliance

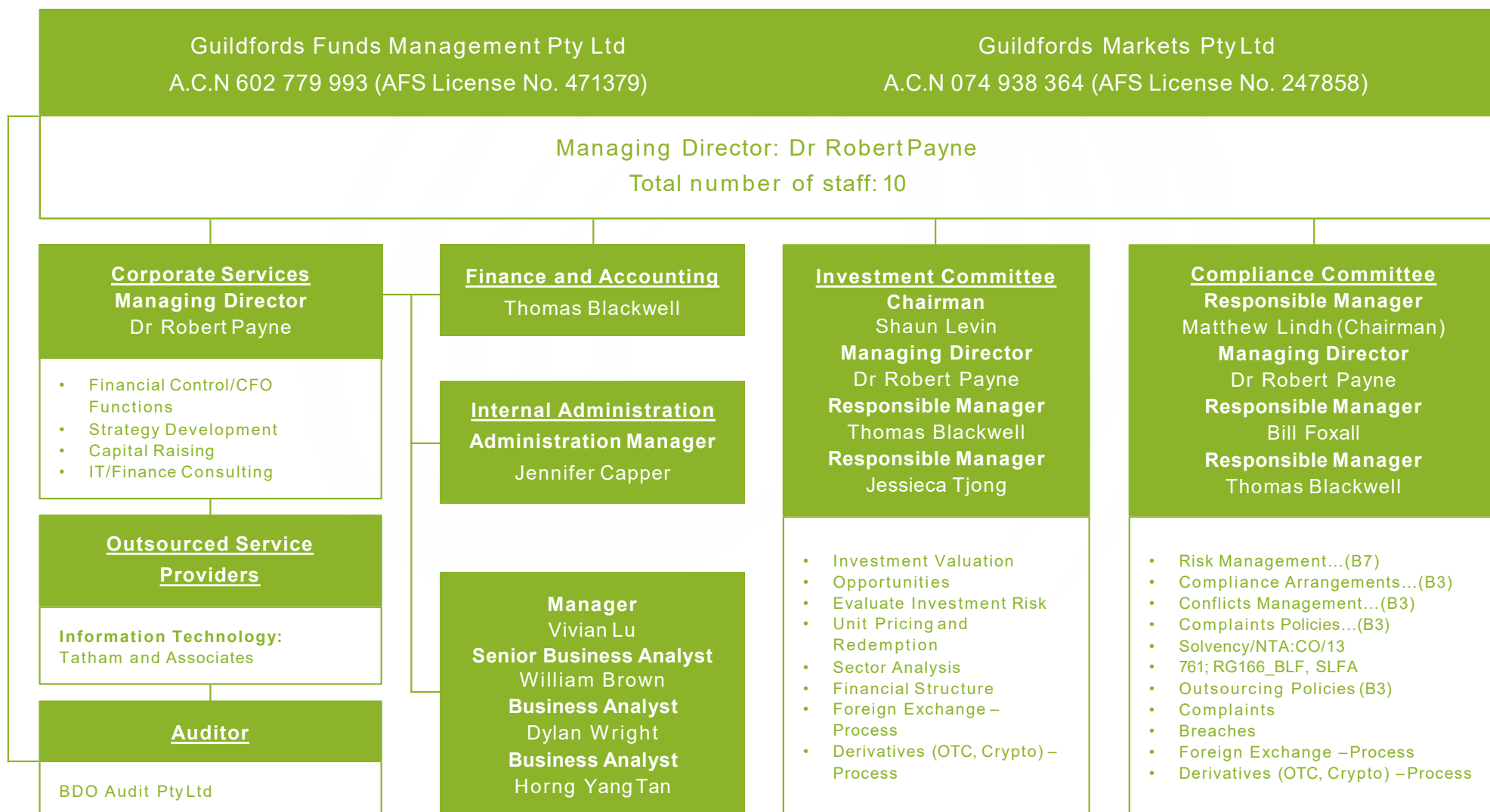
Ongoing Compliance Management for GFM & GM

Guildfords provides comprehensive compliance management, monitoring and reporting to ensure licensees remain up to date with regulation.

Policies and Procedures (PAP)	All PAP's are stored and cross referenced to both ASIC RG's and Corporations Act provisions. Changes can be published and automatically sent to all A/R's.
Risks	Licensees can access and evaluate their risks in meeting obligations. Heat data is automatically generated from all registered risks, allowing relevant people to visually keep track of concern areas.
Obligations and Controls	Licensees can set specific automated standards in compliance that apply to all A/R's. Fully automated.
Questionnaires and Assessments	Information and guidance to all A/R's can be automatically sent out, recorded and generated into a report to increase transparency and communication/feedback.
Issues	The complaints handling process can be automatically activated and reported, with customisable workflows enabling issues to be instantly delegated to the relevant persons.
Registers	Management of training, complaints and breach registers.
Personnel	Management of information pursuant to A/R's, Responsible Managers, Directors, and Committee Members.
Document Design	Customisable document design facilities enable semi-automatic, consistent, and detailed policies and reports to be generated.
Interfacing	The compliance management system can be interfaced against regulator databases for immediate verification, important in the onboarding process.

Guildfords Group Organisational Chart

Guildfords has a diverse and experienced team to meet a range of compliance needs.





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