

FINANCIAL SERVICES GUIDE	
	Version 3.1 Issued and effective from: 18 November 2021
PURPOSE OF THIS FINANCIAL SERVICES GUIDE	
<b>Issuer</b>	This Financial Services Guide ( <b>FSG</b> ) is issued by CASL Governance Ltd ( <b>CASL</b> ) ABN 97 643 977 833 AFSL Number 525889 referred to as “CASL”, “we”, and “our”.
<b>Important Notice</b>	This FSG is an important document that is designed to help you decide whether to use the financial services offered. It also provides you with the following information: <ol style="list-style-type: none"> <li>1. About CASL</li> <li>2. The financial services and products we offer</li> <li>3. The process we follow to provide financial services</li> <li>4. How we, our Authorised Representatives (and any other relevant persons) are remunerated</li> <li>5. Are there any of our associations or relationships that might influence the financial services we offer?</li> <li>6. How we collect, use and disclose the information you provide to us</li> <li>7. Our complaints handling procedures</li> </ol>
<b>Authorised Representatives</b>	<p>The following are Authorised Representatives of CASL relevant to the litigation funding scheme to which this FSG attaches as at the date of this FSG:</p> <ul style="list-style-type: none"> <li>• CASL Management Pty Limited (ACN 645 229 116) (<b>CASL Management</b>) Authorised Representative Number: 1292680</li> </ul> <p>Contact details for CASL Management:</p> <p>Telephone: 1800 950 652 (Australia) or +61 2 8039 6100 (International)            Email: <a href="mailto:enquiries@casl.com.au">enquiries@casl.com.au</a>            In writing: Level 13, 115 Pitt Street, SYDNEY NSW 2000</p> <p>These Authorised Representatives are authorised to distribute, and are jointly responsible for the content of this FSG.</p>

## 1. ABOUT CASL

CASL is a 100% owned subsidiary of CASL Group Pty Ltd.

CASL Management is a 100% owned subsidiary of CASL Group Pty Ltd.

CASL Group Pty Ltd, its subsidiaries and related entities provide claim management services and funding for litigation claims.

Our contact details are as follows:

CASL Governance Ltd  
Level 13, 115 Pitt Street  
SYDNEY NSW 2000

Telephone: 1800 950 652 (Aus) or  
+61 2 8039 6100 (International)  
Email: [enquiries@casl.com.au](mailto:enquiries@casl.com.au)  
Website: [www.casl.com.au](http://www.casl.com.au)

## 2. THE FINANCIAL SERVICES AND PRODUCTS WE PROVIDE

CASL is authorised to provide financial product advice and deal in transactions involving financial products for retail clients (provided that any financial product advice is limited to general financial product advice), and is authorised to:

- (a) provide general financial product advice for interests in managed investment schemes limited to litigation funding schemes;
- (b) deal in a financial product by:
  - i. issuing, applying for, acquiring, varying or disposing of a financial product for interests in managed investment schemes limited to litigation funding schemes;
  - ii. applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - A. deposit and payment products limited to:
      - 1. basic deposit products;
      - 2. deposit products other than basic deposit products;
    - B. general insurance products; and
    - C. interests in managed investment schemes excluding investor directed portfolio services;
- (c) operate litigation funding schemes in its capacity as responsible entity.

CASL's Authorised Representatives are authorised to provide financial product advice and deal in transactions involving financial products for retail clients (provided that any financial product advice is limited to general financial product advice), and are authorised to:

- (a) provide general financial product advice for interests in managed investment schemes limited to litigation funding schemes;
- (b) deal in a financial product by:
  - i. applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - A. deposit and payment products limited to:
      - 1. basic deposit products;
      - 2. deposit products other than basic deposit products;
    - B. general insurance products; and
    - C. interests in managed investment schemes excluding investor directed portfolio services.

### 3. THE PROCESS WE FOLLOW TO PROVIDE FINANCIAL SERVICES

We or any Authorised Representative may provide you with the following documents:

- A Product Disclosure Statement (**PDS**) which contains information about the benefits, risks and other features of a litigation funding scheme operated by CASL as responsible entity, and which will enable you to make an informed decision about whether to proceed. The PDS also includes some information about the constitution and compliance plan of the scheme.
- A Litigation Management & Funding Agreement (**LMFA**). The LMFA contains the obligations of other parties to you, and you to other parties, and the contracted financial arrangements between you and other parties. The LMFA also provides an outline of responsibilities and decision making authority you transfer to other parties, as well as the processes for dispute resolution for issues that arise between you and the other parties.
- A Lawyer's Retainer (**LR**): The LR is an agreement between you and the law firm, that governs the obligations and conduct of any legal work to be conducted by the law firm on behalf of you. The LR includes the contractual terms you agree to, in particular, with regard to time recording, billing and payment. The LR also provides an outline of the complaints and dispute resolution process for issues that arise between you and the law firm.

#### **4. HOW WE AND THE AUTHORISED REPRESENTATIVES ARE REMUNERATED**

CASL receives fees from the litigation funding scheme for the provision of relevant regulated financial services. These fees are generally fixed in nature and do not contain any contingency, bonus or commission elements.

Persons that work for Authorised Representatives are typically salaried and may, subject to certain key performance indicators and applicable laws, receive short and long term cash or non-cash incentive payments.

#### **5. ARE THERE ANY OF OUR ASSOCIATIONS OR RELATIONSHIPS THAT MIGHT INFLUENCE THE FINANCIAL SERVICES WE OFFER?**

All associations or relationships that are relevant to financial services or products we might offer are disclosed in the PDS, LMFA and LR.

Actual or perceived conflicts of interest may arise from time to time through the provision of financial services or products. The processes for identifying, reporting and managing actual or perceived conflicts of interest are outlined in CASL's conflicts of interest policy. The conflicts of interest policy of CASL and its Authorised Representatives is available on our website at [www.casl.com.au](http://www.casl.com.au).

#### **6. HOW WE COLLECT, USE AND DISCLOSE INFORMATION**

##### *Information maintained in your file*

Any personal information or information provided by you to CASL or its Authorised Representatives will be retained in a secure file or folder, in soft or hard copy.

Copies of any FSG, PDS, LMFA or LR relevant to financial services or products provided to you will be retained, including any supplementary documents issued from time to time.

You may ask CASL or an Authorised Representative if you would like to examine the information retained by CASL or an Authorised Representative relating to you. Any such requests must be in writing and CASL or an Authorised Representative must address your request within a reasonable time period.

##### *Your Privacy*

We are committed to maintaining the privacy and security of your personal information.

Your personal information will be collected for the primary purpose of providing you with the services described in this FSG. If you do not provide the personal information requested, we may be unable to provide you with the financial services you have requested.

In connection with providing our services to you, we may disclose information about you to our Authorised Representatives and to other professionals, insurance providers, product issuers, auditors and our service providers. It is unlikely that we will disclose your personal information to overseas recipients.

However, any overseas disclosure of your information does not affect our commitment to safeguarding your personal information and we, and each Authorised Representative, will take reasonable steps to ensure any overseas recipient of your personal information complies with Australian privacy law.

Your personal information will be handled in accordance with our Privacy Policy which outlines how we collect, use, store and disclose your personal information.

For more information, including how to access or correct your personal information, or how to complain about a breach of the Australian Privacy Principles, please read our Privacy Policy which can be accessed on our website at [www.casl.com.au](http://www.casl.com.au) or by contacting our Privacy Officer as follows:

Attention: Privacy Officer  
CASL Governance Ltd  
Level 13, 115 Pitt Street  
SYDNEY NSW 2000

Phone: 1800 950 652 (Australia) or +61 2 8039 6100 (International)

Email [enquiries@casl.com.au](mailto:enquiries@casl.com.au)

*Our complaints handling and dispute resolution procedure*

If you have a complaint about the financial services or products provided to you, please contact us on:

Attention: Complaints Officer

CASL Governance Ltd

Level 13, 115 Pitt Street

SYDNEY NSW 2000

Phone: 1800 950 652 (Australia) or +61 2 8039 6100 (International)

Email: [enquiries@casl.com.au](mailto:enquiries@casl.com.au)

If we are unable to resolve the complaint or you are not satisfied with our response to your complaint, you may be able to lodge a complaint with the Australian Financial Complaints Authority (**AFCA**).

Contact details are:

Website: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

Telephone: 1800 931 678 (free call)

In writing: Australian Financial Complaints Authority, GPO Box 3, MELBOURNE VIC 3001

The external dispute resolution body is established to assist you in resolving your complaint where you have been unable to do so with us. However, it's important that you first contact us, as outlined above, to permit an opportunity to resolve the complaint without needing to revert to the external dispute resolution process.

Alternatively, other matters can be referred to the industry regulator, the Australian Securities and Investments Commission (**ASIC**) on 1300 300 630 or via the website [www.asic.gov.au](http://www.asic.gov.au).

*Professional Indemnity (PI) Insurance Cover*

Our professional indemnity insurance covers us and our authorised representatives for the services provided, up to the sum insured. This includes claims relating to the conduct of staff and representatives who no longer work for us, but did so at the time of relevant conduct. Our policy meets the requirements of the *Corporations Act 2001* (Cth) and ASIC Regulatory Guide 126.