

<b>Financial Services Guide</b>	
	Version: 1.0
	Issued and effective from: 13 April 2022
<b>Purpose of this Financial Services Guide</b>	
Issuer	This Financial Services Guide ( <b>FSG</b> ) is issued by Court House Capital Management Ltd (CHC) ABN 13 649 150 872 AFSL Number 531406 referred to as "CHC", we, and "our".
Important Notice	<p>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:</p> <ol style="list-style-type: none"> <li>1. About CHC</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 Representative 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>
Authorised Representatives	<p>The following is an Authorised Representative of CHC relevant to the litigation funding scheme to which this FSG attaches as at the date of this FSG:  <b>CHC Investment Fund Pty Ltd</b> ACN 643 822 799 (<b>CHC Investment Fund</b>)            Authorised representative number 001292133.</p> <p>Contact details for CHC and CHC Investment Fund            Telephone: +61 2 9221 8000            Email: <a href="mailto:info@courthousecapital.com.au">info@courthousecapital.com.au</a>            In writing: Court House Capital Management Ltd and CHC Investment Fund            Att: Tyro Litigation Funding Scheme            Level 45, 25 Martin Place SYDNEY NSW 2000</p> <p>This Authorised Representative is authorised to distribute, and is jointly responsible for, the content of this FSG.</p>

## 1. ABOUT CHC

CHC is a 100% owned subsidiary of Court House Capital Pty Ltd ACN 643 811 438. CHC and its related entities provide claim management services and funding for litigation claims. Our contact details are as follows:

Court House Capital Management Ltd  
Level 45, 19 Martin Place, Sydney,  
NSW 2000 Australia  
Telephone: +61 2 9221 8000

Email: [info@courthousecapital.com.au](mailto:info@courthousecapital.com.au)  
Website: [www.courthousecapital.com.au](http://www.courthousecapital.com.au)

## 2. THE FINANCIAL SERVICES AND PRODUCTS WE PROVIDE

CHC 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 to retail clients for interests in managed investment schemes limited to litigation funding schemes;
- (b) provide general financial product advice to wholesale clients for interests in managed investment schemes excluding investor directed portfolio services;
- (c) deal in a financial product by:
  - i. issuing, applying for, acquiring, varying or disposing of a financial product to retail clients for interests in managed investment schemes limited to litigation funding schemes;
  - ii. issuing, applying for, acquiring, varying or disposing of a financial product to wholesale clients for interests in managed investment schemes excluding investor directed portfolio services;
  - iii. applying for, acquiring, varying or disposing of a financial product on behalf of another person to retail and wholesale clients in respect of the following classes of products:
    - A. general insurance products;
  - iv. applying for, acquiring, varying or disposing of a financial product on behalf of another person to wholesale clients in respect of the following classes of products:
    - A. interests in managed investment schemes excluding investor directed portfolio services;
- (d) operate litigation funding schemes in its capacity as responsible entity to retail and wholesale clients;
- (e) operate custodial or depository services other than investor directed portfolio services to wholesale clients.

CHC Investment Fund is authorised to deal in transactions involving financial products for retail clients, and is authorised to:

- (a) provide general financial product advice to retail clients for interests in managed investment schemes limited to litigation funding schemes;
- (b) provide general financial product advice to wholesale clients for interests in managed investment schemes limited excluding investor directed portfolio services;
- (c) deal in a financial product by:
  - i. applying for, acquiring, varying or disposing of a financial product on behalf of another person to retail and wholesale clients in respect of the following classes of products:
    - A. general insurance products;
  - ii. applying for, acquiring, varying or disposing of a financial product on behalf of another person to wholesale clients in respect of the following classes of products:
    - A. interests in managed investment schemes excluding investor directed portfolio services.

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

We or our 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 Governance Ltd 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 regards 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

CHC receives fees from CHC Investment Fund 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.

The Authorised Representative receives specific fees for service and may receive fees contingent on the achievement of a particular outcome or financial hurdle in relation to a litigation funding scheme.

These fees are outlined in the relevant PDS. Persons that work for the Authorised Representative 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 CHC's conflicts of interest policy. The conflicts of interest policy of CHC is available on our website at [www.courthousecapital.com.au](http://www.courthousecapital.com.au)

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

*Information maintained in your file*

Any personal information or information provided by you to CHC or its Authorised Representative 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 CHC or its Authorised Representative if you would like to examine the information retained by CHC or its Authorised Representative relating to you. Any such requests must be in writing and CHC or its 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.courthousecapital.com.au](http://www.courthousecapital.com.au) or by contacting our Privacy Officer as follows:

Attention: Privacy Officer  
Court House Capital  
Management Ltd  
Level 45, 25 Martin Place,  
Sydney NSW 2000  
Phone: +61 2 9221 8000  
Email [info@courthousecapital.com.au](mailto:info@courthousecapital.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  
Court House Capital  
Management Ltd  
Level 45, 25 Martin Place,  
Sydney NSW 2000  
Phone: +61 2 9221 8000  
Email [info@courthousecapital.com.au](mailto:info@courthousecapital.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.

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 Insurance Cover*

CHC holds professional indemnity insurance which provides coverage 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.