



27 September 2021

Reference number: 0044252S0002_RFI

⑆ 000004 000



KJ & AC ST LEDGER SUPER FUND
C/- DGZ CHARTERED ACCOUNTANTS, PO BOX 1935
BUNDABERG QLD 4670

Dear Client,

You're due a refund

We're writing to let you know we've been reviewing the ongoing advice service records of all Licensed Practices in our Securitor network between July 2008 and December 2018. The review was undertaken to determine if there were records demonstrating ongoing advice was provided and did not assess the quality of advice clients received.

We've reviewed your records and we're providing a refund for fees you paid for ongoing advice services from Peter Thompson. It's important you contact us, so we can deposit your refund payment into your account.

About your refund:

- This review was looking at the records to confirm Peter Thompson provided ongoing advice services where you paid fees during 2008–2010.
- It was our responsibility to do this review, as Peter Thompson was one of our Licensed Practices at the time.
- In our review, we didn't find sufficient records to confirm that you received ongoing advice services from Peter Thompson in 2008–2010.
- We apologise this occurred. We're refunding the fees you paid for any periods where we can't confirm the service was provided to you, plus interest.
- To receive your refund, **please complete the enclosed form.**

Since completing our review, we have been working with the Trustee or Product Provider of the account where you originally paid ongoing advice fees. We have been advised this investment account is closed and we need to pay you directly instead of into your account with the trustee.

If this is not the case, then we may be required to pay the Trustee or Product Provider into your open account with them. We will provide you written confirmation of this payment if we do so.

Please complete the enclosed form to receive your refund

To receive your payment, we need you to please tell us where to deposit the refund. This is because the account you originally used to pay these fees has since been closed.

To provide us with your account information, complete the enclosed form at your earliest convenience and return it using the reply paid envelope provided.

Please contact us if you have any questions or concerns

We're committed to minimising any inconvenience to you, so please call if you have any concerns. Our team is aware of this issue and ready to help.

You can call us Monday to Friday, between 8.30am and 5.30pm (AEST), on 1800 630 374 or email us at adviceenquiry@btfinancialgroup.com.

If you are not satisfied with our service or your outcome, please let us know so we can ensure your concerns are considered and resolved quickly. You can contact the BT Complaints Team by email at btadvicecomplaints@btfinancialgroup.com or in writing:

BT Advice Complaints
GPO Box 5265
SYDNEY NSW 2001

After contacting our BT Complaints Team, if you have concerns about the outcome of the review, you may choose to contact the Australian Financial Complaints Authority (AFCA). AFCA is an independent dispute resolution service, available to you at no cost. For more information, including timeframes and financial limits, contact AFCA at www.afca.org.au, by phone on 1800 931 678 (free call), by email info@afca.org.au or in writing:

Australian Financial Complaints Authority
GPO Box 3
MELBOURNE VIC 3001

We're here to help

Please don't hesitate to call us if you need any further assistance. You can reach us Monday to Friday, between 8.30am and 5.30pm (AEST), on 1800 630 374 or email us at adviceenquiry@btfinancialgroup.com.

Yours sincerely,



Nathan Peters

Head of Customer Care | BT Advice Reviews

Advice Remediation – Company and SMSF Payment Instruction Form

The letter reference 0044252S0002_RFI we sent to you provides details of a remediation payment we need to pay to the applicable fund, trust or corporate entity to put things right.

! Use this form to:

- Provide the details of the Australian bank account into which the remediation payment should be deposited
- Confirm your authorisation to nominate the account on behalf of the relevant fund, trust or corporate entity

Complete this form by using black pen, in clear CAPITAL LETTERS. Use crosses [X] in boxes where applicable. Please contact us if you are not able to nominate or authorise a bank account for the applicable fund, trust or corporate entity.

I hereby instruct and authorise you to deposit the remediation payment relating to my closed investment account(s) ending in 0801 to the bank account described in Section 1 Payment Instructions below.

1. Payment Instructions

BSB Number:

Bank Account Number:

Bank Account Name:

Financial Institution:

! Where the nominated Australian bank account receiving the refund payment is not in the same name as the investment policy, further information may be requested by our Customer Care Team to support payment. Please be aware this may delay payment.

2. Supporting ID Document Checklist

Copies of identification documents are required to be provided by ALL account holders/signatories.

ID Required:

- Driver's Licence

OR

- Passport **AND** Utility Bill (e.g. Rates, Electricity, Water) showing address.

! **Please Note:** Your refund cannot be processed if Supporting ID document(s) are not provided.

Please note these signatories should correlate to those currently listed as Officeholders within ASIC. In the case of Joint or Individual SMSF trustee/s, these details should correlate with the Trust Deed.

! **For all Self-Managed Super Funds and Trusts, please provide a copy of your Trust Deed.**

Advice Remediation – Company and SMSF Payment Instruction Form

Reference Number: 0044252S0002_RFI

3. Directors, Company Officers and SMSF Trustee Signatures and Authorisation

In the case of company signatories, two directors or a director and a company secretary must sign unless the company has a sole director and sole secretary. In the case of incorporated associations, signatories must indicate their position in 'Other'.

Signatory A
full name:

Signature:

Director/ Trustee Company Secretary Other (specify below)

Signatory B
Full name:

Signature:

Director/ Trustee Company Secretary Other (specify below)

4. Contact Details

Please provide your preferred contact details as we may need to contact you about your refund.

Name:

Phone:

Email:

Proceed to page 3

Advice Remediation – Company and SMSF Payment Instruction Form

5. How to submit this form

To provide us with your account information, please return the form and supporting ID documents using the Reply Paid envelope provided.



BT Advice Remediation
Reply Paid 90519
SYDNEY NSW 2001

Note: For security reasons, please do not email this form or any supporting documentation.

