Global SRI

Australian Fiduciaries Limited
Global SRI Pty Limited

14 April 2022
Australian Fiduciaries Limited ABN 22 601 228 844
AFSL 465 658
Global SRI Pty Limited ABN 84 623 555 153
AR No. 001264463

FINANCIAL SERVICES GUIDE

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1. Important information

Purpose of this FSG

This Financial Services Guide (FSG) is issued by Australian Fiduciaries Limited ACN 601 228 844, Australian financial services (AFS) Licence No. 465658 (AFL), and its Authorised Representative, Global SRI Pty Limited ABN 84 623 555 153, Authorised Representative No. 001264463 (GSRI) (collectively, "we", "us" or "our"), to assist you in deciding whether to use any of the financial services we offer.

The purpose of the FSG is to inform you:

(a) **of the services we offer;**
(b) **how you can contact us;**
(c) **how we are remunerated; and**
(d) **how we deal with client complaints.**

2. Other documents you may receive

(a) Statement of Advice

If you have been provided with personal advice, we will confirm our recommendations in writing, so that you can make an informed decision about the suitability of the advice to you. These recommendations are contained in a written statement of advice (SOA) and will be provided to you.

(b) Record of Advice

A record of advice (ROA) will be used to record any personal advice we provide to you where:

(i) we are providing you with ongoing, or subsequent advice; and
(ii) your personal circumstances have not changed.

The ROA will be added to your file and is available to you upon written request within seven years. If you have not received a ROA from us, or you require a copy, you may request a copy of the ROA by contacting us on any of the contact details set out on section 2 of this FSG.

(c) Product Disclosure Statement

Where we are providing you advice in relation to a product which requires disclosure under the Corporations Act 2001 (Act), we will provide you with a Product Disclosure Statement (PDS) which contains general information about an investment in the product including:

(i) the terms and conditions for an investment in the product;
(ii) any significant risks associated with holding an investment in the product;
(iii) information about the cost of an investment in the product; and
(iv) details of fees and charges AFL and GSRI each receive for acting as responsible entity and investment manager, respectively, in relation to the issue of the product.

You may receive a PDS when AFL issues you a product, offers to issue you a product, or recommends investing in a product to you as part of personal advice you receive from AFL or GSRI.

3. Contact Details

We can be contacted as follows:

Australian Fiduciaries Limited
ACN 601 228 844 AFS Licence No. 465658

Registered office: Level 27G, Waterfront Place, 1 Eagle St, Brisbane QLD 4000
Email: admin@australianfiduciaries.com.au
Web: www.australianfiduciaries.com.au

Global SRI Pty Limited
ABN 84 623 555 153

Registered office: Level 27G, Waterfront Place, 1 Eagle St, Brisbane QLD 4000
Email: admin@globalsri.com.au
Web: www.globalsri.com.au

4. Products and services AFL is licensed to provide

(a) AFL is authorised to provide financial product advice to retail and wholesale clients in respect of the following classes of financial products:

(i) deposit and payment products;
(ii) derivatives;
(iii) foreign exchange contracts;
(iv) debentures, stocks, or bonds issued by a government;
(v) interests in managed investment schemes, excluding investor directed portfolio services (IDPS);
(vi) securities; and
(vii) superannuation

(b) AFL is also authorised to provide financial product advice to wholesale clients on standard margin lending facilities.

(c) AFL is authorised to deal in a financial product for both retail and wholesale clients, by issuing, applying for, acquiring, varying, or disposing of a financial product in respect of the following classes of financial products:

(i) derivatives;
(ii) foreign exchange contracts;
(iii) interests in AFL's own managed investment schemes; and
(iv) securities.

(d) AFL is authorised to deal in a financial product for both retail and wholesale clients, by applying for, acquiring, varying, or disposing of a financial product on behalf of another person in respect of the following classes of financial products:

(i) deposit and payment products;
(ii) derivatives;
(iii) foreign exchange contracts;
iv) debentures, stocks, or bonds issued by a government;
(v) interests in managed investment schemes, excluding IDPS;
(vi) securities;
(vii) standard margin lending facility; and
(viii) superannuation

(e) AFLisauthorised tooperate the following registered managed investment schemes (Funds) for retail and wholesale clients (which may hold derivatives and/or financial assets):

(i) Global SRI Multi-Strategy FundARSN 603 285 801
(ii) Global SRI All Seasons FundARSN 629 361 600
(iii) Global SRI Ethical Alpha Fund ARSN 629 361 315 (GEAF)

(f) AFL is authorised to operate a custodial or depository service for retail and wholesale clients other than IDPS.

As the responsible entity for the Funds, AFL is responsible for ensuring they are operated in accordance with their constitution and the Act.

Authorised Representatives

AFL outsources the investment management of GEAF to GSRI which is a related party of AFL.

Details of AFL's relationship with GSRI are set out in the PDS for GEAF. This arrangement is governed by an investment management agreement, details of which are contained in the PDS for GEAF. GSRI is an authorised representative of AFL, and is responsible for making investment and divestment decisions in relation to GEAF and for the implementation of GEAF's investment strategy.

5. Fees, Charges and Commissions

Fees

AFL and GSRI may each receive fees while you hold an interest in GEAF. Details of fees and charges that AFL and GSRI receive for performing services in relation to GEAF are contained in the PDS.

Commissions

No director, related entity, employee or associate of AFL nor GSRI receives any remuneration or benefits as a result of the provision of any financial product advice provided to you. In addition, AFL and GSRI do not receive any commission for the sale of an interest in GEAF.

Other benefits

AFL and/or GSRI, may receive other monetary and non- monetary benefits from third party service providers engaged to provide services to GEAF, including capital introduction services, contributions to our marketing campaigns, fee rebates, invitations to events, travel expenses, research and data services, provision of software and/or computer hardware and other IT related services.

You may request particulars of any benefits payable to AFL or, GSRI in respect of a particular product or service, however, we will not account to investors for any amounts or benefits received and retained, if in the reasonable opinion of AFL, it is not possible to quantify in dollar terms the extent of any such monetary and/or non-monetary benefits.

Where permitted by relevant law, AFL and/or GSRI may pay a commission or other benefit to parties, including external parties who refer customers to AFL or GSRI (as applicable). This could be made up of a single one-off payment or benefit or calculated as a percentage of the total amount of sales generated by their referrals. If payable, these commissions will be paid by AFL or GSRI (as applicable), from their own funds, or from the fees they are entitled to receive as disclosed in the PDS. There will be no additional cost to you for any commission paid by AFL or GSRI.

If you receive personal advice, more detailed information about fees, commissions and other benefits payable by AFL or GSRI will be contained in/or with, either your SOA or the PDS.

6. Insurance

Under the Act and regulations made under that Act, AFL, as the holder of an AFS licence, is required to have professional indemnity insurance that is adequate, having regard to the nature of our business and the potential for compensation claims.

AFL has insurance policies in place which cover professional indemnity, crime and directors' and officers' liability insurance. AFL is satisfied with the adequacy of its insurance coverage, and that it meets the requirements of the Act. The cover available to AFL extends to include losses arising from the conduct of former employees or representatives of AFL (which occurred during their employment with, or service for AFL) as if those persons were still employed by, or were still representatives of, AFL.

Senior management reviews the insurance coverage and policies annually.

7. Conflicts of Interest

Potential conflicts may occasionally arise between the interests of investors, ourselves, our related parties and other parties (including service providers appointed by us).

We have statutory and common law fiduciary duties to manage conflicts of interest, and act in the best interests of investors, and if there is a conflict, give priority to investors' interests.

We have policies, procedures, and organisational arrangements in place to manage conflicts of interest. We, or any related parties of AFL, or any director or officer of any of them, may invest in any financial product we issue or manage.

We may receive fees or derive a profit as issuer of financial products, and, where applicable, fees as the investment manager. Directors, being employees or independent directors, may receive a salary (from employment) or director fees.

From time to time the directors may hold interests in shares of financial products issued by us.

8. Your Privacy

The privacy of your information is important to us. In general, we collect your personal information to administer our client relationships. For further information on our privacy policy and information handling practices, please refer to our Privacy Policy Statement, which is available on our website, or by contacting us directly.

9. Providing instructions to us

Unless otherwise stated in the PDS, we require that you provide all instructions to us in writing, signed by you. Where your instructions are of a purely administrative nature, we will act in accordance with your instructions. Otherwise, we will consider your instructions in accordance with our legal obligations.

10. Making a Complaint

The AFL complaints handling process is designed to ensure that any concerns or feedback you may have are dealt with appropriately, promptly and fairly. Your concerns may be provided either verbally or in writing, in strict confidence, to the Complaints Handling Officer, by following the procedure set out below.

Step 1 - Contact your Advisor

Contact your authorised representative and tell your authorised representative about your complaint.

Step 2 - Contact the Complaints Officer

If you did not deal with an authorised representative (for example, because you dealt with AFL directly), or if your complaint is not satisfactorily resolved within three days, then please contact AFL's Complaints Officer on (07) 3272 6000, or put your complaint in writing and send it to us at:
complaints@australianfiduciaries.com.au, or:

Attention: Complaints Officer
Australian Fiduciaries Limited
) Box 151, Brisbane QLD 4001

We will try to resolve your complaint quickly and fairly, and in any event, within 30 days of receipt of your complaint.

Step 3 - Australian Financial Complaints Authority (AFCA)

(a) Retail Clients

If you are a retail client and you still do not receive a satisfactory outcome, then you have the right to complain to AFCA on 1800 931 678, or by writing to:

Australian Financial Complaints Authority
GPO Box 3, Melbourne VIC 3001
info@afca.org.au
www.afca.org.au

AFL is a member of this scheme (membership number 35673).

(b) Wholesale Clients

If you are a "wholesale client" for the purposes of section 761G(4) of the Act, then AFCA is not available to you. Your complaint will therefore need to be directed to AFL, as set out above.

(c) The Australian Securities and Investments Commission also has a free call Infoline on 1300 300 630, which you may use to make a complaint and obtain information about your rights.

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