

## Third Link Investment Managers Pty Limited Financial Services Guide

Dated: 18 August 2017

Third Link Investment Managers Pty Limited  
ABN: 31 128 965 702  
Australian Financial Services Licence No: 321611  
Address: GPO Box 1087, Sydney NSW 2001  
Phone: 1300 793 855

The commencement date of the Third Link Investment Managers Pty Limited (TLIM) Australian Financial Services Licence (AFSL) was 11 March 2008.

This Financial Services Guide (FSG) is an important document that is required to be given to you under the requirements of TLIM's AFSL. This FSG provides you with information about the financial services offered by TLIM as outlined below and is intended to help you decide whether to acquire the financial services or the financial products those services relate to. This FSG contains information about how TLIM and its representatives are remunerated, who would be providing the financial services to you and other matters required by law including how complaints against TLIM are dealt with. The authorised representatives set out in this FSG have been authorised by TLIM and TLIM is responsible for the financial services the authorised representatives provide.

TLIM is the authorised licensee and has authorised the distribution of this FSG.

Before investing in the Third Link Growth Fund ARSN 130 165 552 (the Fund), you should be provided with a Product Disclosure Statement (PDS) and Additional Information Booklet (AIB). The PDS and AIB are documents prepared by the issuer of a financial product which contains information about a particular product to help you decide whether to invest in that product. The PDS and AIB will contain information regarding the product, terms and conditions, the costs of the product and fees and significant risks associated with the investment.

### Authorised Financial Services

#### *General Advice*

TLIM is authorised to provide general financial product advice to retail and wholesale clients in relation to the following financial products (Authorised Financial Products):

- Deposit and payment products
- Derivatives
- Foreign exchange contracts
- Debentures, stocks or bonds issued or proposed to be issued by a government
- Interests in managed investment schemes excluding investor directed portfolio services; and
- Securities

### General advice warning

TLIM does not provide personalised financial product advice. Where general advice is given:

- The information does not take into account the person's personal objectives, financial situation and needs
- Individuals should consider the appropriateness of the information on that basis; and
- Individuals should obtain a copy of the Product Disclosure Statement in relation to any products they are considering buying, selling or holding

Our authorised representatives are authorised to provide general financial product advice and can give you general product information to help you decide but cannot provide you with personal advice on whether the Fund is specifically appropriate for your personal needs, objectives or financial situation.

#### *Dealing in a financial product*

TLIM is authorised to apply for, acquire, vary or dispose of a financial product on behalf of others in relation to the Authorised Financial Products.

TLIM is the appointed investment manager for the Fund. Bennelong Funds Management Ltd ABN 39 111 214 085 AFSL 296806 (BFML) is the responsible entity and product issuer of the Fund. In performing its roles as investment manager, TLIM may apply for, acquire, vary or dispose of Authorised Financial Products on behalf of the Fund.

### Details about our Authorised Representatives

**Name: Ashley Owen**

Authorised Representative Number: **313636**

Address: Level 8, 15 Blue Street, North Sydney NSW 2060

Telephone: 02 9904 1555

Ashley was born in Singapore, educated in Australia and the United States, and now lives in Sydney. Around half of the past 30 years was spent in a variety of senior executive roles in major international banking and finance groups, including Citibank, HSBC/Midland and ANZ. He ran various divisions and departments that included lending, financial control, branch networks, direct marketing, M&A and strategy. The other half of the time was spent providing corporate finance assistance to businesses from early stage VC through to IPO. Along the way he picked up degrees in economic history, law, finance, and a CFA® charter. He has also lectured for the Securities Institute of Australia (now FINSIA) and for the CFA Sydney Society. Ashley is Chief Investment Officer at independent advisory firm Stanford Brown and The Lunar Group.

#### **Remuneration**

Ashley Owen is a director of TLIM. Ashley and his associates, with the exception of TLIM, do not earn any fees or salary from their involvement with the Fund.

TLIM is the appointed investment manager of the Third Link Growth Fund for which it is entitled to ongoing management fees of 1.4 per cent per annum of the gross asset value of the fund. It is intended that all fees received by TLIM from managing the fund's investments, net of expenses incurred, will be donated to charity.

You may receive advice in relation to the product from financial advisers that do not work for TLIM, for example licensed stockbrokers and financial planning groups. These advisers will not receive fees and commissions from TLIM.

#### **Relationships**

There are no associations or relationships between the licensee, its authorised representatives, the providing entity or any related body corporate and the issues of any financial products, being associations or relationships that might reasonably be expected to be capable of influencing the licensee or its authorised representatives in providing any of the authorised services.

#### **Complaints handling**

If you have a complaint about the service provided to you, please write to TLIM and inform it of your name, contact details and your concern. TLIM and BFML (in relation to the Third Link Growth Fund) will then undertake to resolve the matter quickly, fairly and in the strictest of confidence, in accordance with our complaints-handling process.

Complaints should be addressed to the Complaints Officer, c/-Third Link Investment Managers Pty Limited at the address of the authorising licensee noted above.

If you are not satisfied with our response to your complaint, you have the right to refer the complaint to Financial Ombudsman Service Limited (FOS) which is an independent disputes resolution scheme of which we and TIS are a member.

FOS can be contacted by phone on 1300 780 808 or email [info@fos.org.au](mailto:info@fos.org.au) to lodge a complaint or obtain further information about your rights.

#### **Compensation arrangements**

TLIM has appropriate professional indemnity insurance that meets the requirements of section 912B of the Corporations Act 2001 for compensation arrangements. Subject to the terms and conditions of the policy, the insurance includes cover for claims made in relation to the conduct of our representatives and employees, including where they no longer work for TLIM, but did at the time of the relevant conduct.

#### **Personal information**

At TLIM the privacy of your personal information is important to us. Any personal information collected will be handled in accordance with our privacy policy. Our privacy policy details how we comply with the requirements of the Privacy Act in the handling of your personal information. A copy of our privacy policy is available on our website [www.thirdlink.com.au](http://www.thirdlink.com.au) or by contacting TLIM directly.

#### **Providing instructions to the Authorised Representatives**

You can give the authorised representatives instructions by telephone, mail, email, fax or via TLIM's website [www.thirdlink.com.au](http://www.thirdlink.com.au).