

## FINANCIAL SERVICES GUIDE

This Financial Services Guide (**FSG**) is an important document. It is designed to assist you in deciding whether to use any of the financial services and products offered by Blackwattle Investment Partners Pty Limited (ABN 24 663 839 094, Authorised Representative No. 001304362) (**Blackwattle Investment Partners, we or us**). As the provider of financial services to retail clients, we are required to provide you with this FSG.

This FSG provides you with important information about:

- the types of services and products we can offer you
- how we (and other relevant persons) are remunerated for these services and products
- our external complaints handling procedures and how you can use them
- how you can contact us, our authorising licensee and the issuer of our financial products.

### Other disclosure documents

Before you can invest in one of our retail financial products we are required to provide you with a product disclosure statement (PDS). The PDS contains important information regarding the features, benefits, risks and fees applicable to an investment in that financial product, and should be read carefully to enable you to make an informed decision about whether to invest in the financial product. You should consult with your licensed financial adviser if required.

A Statement of Advice (SOA) will normally be given to you when you are provided with any personal advice, which takes into account your objectives, financial situation and needs. We do not provide personal advice. Therefore, we will not provide you with an SOA. An intermediary (such as a financial planner, stockbroker or dealer group) may provide you with an SOA.

### About us

Blackwattle Investment Partner offers investment solutions across domestic equities. Built on a foundation of alignment with our clients, our vision is to be Australia's best performing and most trusted investment management business. Our mission is to generate outstanding investment results for our clients through investment excellence, transparency and strong governance.

### Our authorising licensee

Blackwattle Investment Partners is an authorised representative of Blackwattle Licensing Pty Limited (ACN 665 711 839, AFSL 547 617) (**Blackwattle Licensing**), a related body corporate of Blackwattle Investment, under their Australian financial services licence. Our authorised representative number is 001304362. We provide all of our financial services as representatives of Blackwattle Licensing. We do not act as a representative of any other licensee.

Blackwattle Licensing has authorised the distribution of this FSG.

Blackwattle Licensing's contact details are at the end of this FSG.

### About the Blackwattle Funds

Equity Trustees Limited (ABN 46 004 031 289, AFSL No. 240975) acts as the responsible entity of the Blackwattle Funds. Our funds that are currently available for investment by retail clients are:

- Blackwattle Large Cap Quality Fund ARSN 669 439 749
- Blackwattle Long-Short 130/30 Quality Fund ARSN 669 440 500
- Blackwattle Mid Cap Quality Fund ARSN 669 440 715

(the **Blackwattle Funds**).

EQT provides services including compliance, administration, and reporting services relating to our Funds. EQT has appointed Blackwattle

Investment as the investment manager to manage the assets of the Funds.

### **Our financial services and financial products**

We are authorised to provide the following financial services with respect to the following financial products:

Giving general advice about:

- Interests in managed investment schemes excluding investor directed portfolio services
- Securities
- Derivatives

with respect to retail clients; and

Giving financial product advice about:

- Basic deposit 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
- Securities

with respect to wholesale clients; and

Dealing in a financial product by applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:

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

with respect to wholesale clients.

### **Remuneration or other benefits we may receive**

If you acquire one of our products, we will receive fees and other benefits. These are generally set out in the PDS for the product. Where permitted by law, this remuneration may include:

- management fees charged as a percentage of net asset value of the relevant Fund as disclosed in the PDS; and

- performance fees also charged as percentage of net asset value of the relevant Fund as disclosed in the PDS.

Transaction fees may also apply to an investment in our Funds. We may also be entitled to recover expenses incurred on behalf of the Funds. Details of the remuneration and expense recoveries we will receive are set out in the PDS for the Funds.

We generally pay for EQT's services including responsible entity, compliance, administration, custodian oversight and reporting services out of our own monies. EQT may also be entitled to recover expenses incurred on behalf of the Funds out of the Funds' assets. Details of the remuneration and expense recoveries EQT will receive are set out in the PDS for each of the Funds.

We do not receive any fees, nor do we charge you additional fees, for providing financial product advice.

Financial advisers and intermediaries may also receive fees from you (which may be deducted from your investment) and typically, this will be disclosed in their FSG and SOA that they must give you. Neither we nor EQT will pay any commission to financial advisers.

Our employees who give you general advice do not receive specific payments or commissions for giving that advice. These employees and our directors receive salaries, bonuses and other benefits from us. Bonus payments and other benefits are discretionary, and based on achievement of predetermined objectives.

Various members of Blackwattle Licensing and EQT and their directors and employees provide certain financial, information technology, human resource and other services to us to enable us to provide the services described in this FSG. You will not be charged for their remuneration. We pay for the costs of providing these services from the fees we receive.

Neither we nor EQT receive any remuneration for referring another person to EQT, us or the Funds.

### **Compensation arrangements**

We have professional indemnity insurance cover in place in respect of financial services provided to our clients. This insurance covers claims in relation to the conduct of our past and present representatives. These arrangements comply with the requirements of section 912B of the *Corporations Act 2001* (Cth).

### **Disclosure of relevant conflicts of interest**

Neither we nor EQT have any relationships or associations which might influence us or them in providing you with any of our financial products and services.

Members of our board of directors, management team and staff may hold investments in our Funds (on the same terms as all other investors).

### **Privacy**

Your privacy is important to us. When we provide financial services to you, we may collect your personal information. Your personal information will be managed in accordance with our Privacy Policy which sets out how we collect, use, disclose and store personal information collected. A copy of our Privacy Policy can be obtained by contacting us directly or by visiting our website.

A statement explaining your privacy rights and EQT's obligations as responsible entity and product issuer in relation to your personal information is contained in the PDS for each Fund.

### **Complaints handling**

We have established procedures for dealing with complaints which cover the financial services that we provide to retail clients. In the first instance, you can make a complaint by calling +612 7208 8492 or by writing to:

#### **Compliance Offer**

Blackwattle Licensing Pty Limited  
Suite G.01A, Ground Floor, 117 Clarence Street  
Sydney NSW 2000

Email: [Compliance@blackwattlepartners.com](mailto:Compliance@blackwattlepartners.com)

We will acknowledge your complaint within 24 hours of receipt. We will investigate complaints with the aim to provide a response (if not a

resolution to the complaint) within 30 days of receipt.

If you are ultimately dissatisfied with the outcome of your complaint or how the complaint has been handled or if we have not responded within 30 days, you may refer the matter, free of charge, to the Australian Financial Complaints Authority (**AFCA**), which is an external dispute resolution scheme.

The contact details for AFCA are:

Phone: 1800 931 678

Fax: (03) 9613 6399

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

Mail: Australian Financial Complaints Authority  
GPO Box 3

Melbourne VIC 3001

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

### **Record keeping**

EQT, as issuer and responsible entity of the Blackwattle Funds will seek to ensure that comprehensive and accurate records of all transactions and investments undertaken, and documentation executed, are properly maintained.

### **Contacting us**

#### **Blackwattle Investment Partners Pty Limited**

Suite G.01A, Ground Floor, 117 Clarence Street  
Sydney NSW 2000

Australia

Phone: +612 7208 9922

Email: [info@blackwattlepartners.com](mailto:info@blackwattlepartners.com)

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Email: [info@blackwattlepartners.com](mailto:info@blackwattlepartners.com)

Blackwattle's Website:

<https://blackwattlepartners.com/>