



MAPLE-BROWN ABBOTT
INVESTMENT MANAGERS SINCE 1984

Maple-Brown Abbott Financial Services Guide

15 February 2022

About this Financial Services Guide

This Financial Services Guide (FSG) is an important document that is designed to help you understand and decide whether to use the services and products offered by Maple-Brown Abbott Limited (**Maple-Brown Abbott, our, us or we**) before you use them or invest in them. We are required by law (subject to certain exemptions), to provide this FSG to retail clients.

Among other things, this FSG contains important information about:

- who we are and how we can be contacted;
- what financial services and types of products we are authorised to provide to you;
- how we (and any other relevant parties) are remunerated;
- your privacy; and
- details of our complaints procedures.

The information contained in this FSG is general information only and has been prepared without taking into account any particular person's investment objectives, financial situation and needs. We provide no warranty regarding the suitability of any of the services or products described in this FSG for any person.

Other documents you may receive

Before you can invest in a financial product offered by us, we are required to provide you with a Product Disclosure Statement and Additional Information Booklet (together the 'PDS'). The PDS contains important information regarding the features, benefits, risks and fees and costs

applicable to an investment in that financial product.

About Maple-Brown Abbott

Maple-Brown Abbott is the responsible entity for a number of managed investment schemes (collectively, the **Funds** and individually, a **Fund**).

As one of Australia's first boutique investment managers, we have evolved into a business focusing on managing Australian equity, Asian equity, global listed infrastructure and multi-asset strategies.

Operating for nearly 40 years, we manage investment portfolios for institutional, high net-worth and retail clients in Australia. We have clients across the world including in North America, Europe and Asia. We are privately owned with around 60 staff in Sydney and over A\$10 billion in assets under management, as at 31 December 2021. We have a long-standing commitment to responsible investing and are a signatory to the United Nations Principles for Responsible Investment.

Being a focused boutique investment manager remains an important driver of our culture, ensuring our interests are strongly aligned with those of our clients. We strive to deliver the highest level of service to our clients and to always act with integrity and the highest ethical standards.

Contact details

Maple-Brown Abbott Client Services

T 1300 097 995 or +61 3 9616 8614 (9am–5.30pm)

General enquiries | E mba@unitregistry.com.au

Transaction instructions | E mba_transactions@unitregistry.com.au

P GPO Box 804, Melbourne VIC 3001

Our financial products and services

We are authorised under our Australian Financial Services Licence (AFSL) to provide the following financial services:

- provide financial product advice to retail investors in relation to the managed investment schemes for which we are responsible entity;
- provide financial product advice to wholesale clients for the following classes of financial 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 and superannuation;
- deal in a financial product to retail and wholesale clients by issuing, applying for, acquiring, varying or disposing of foreign exchange contracts or interests in the managed investment schemes for which it is responsible entity;
- deal in a financial product by applying for, acquiring, varying or disposing of the following classes of financial products on behalf of another person; securities, interests in managed investment schemes (excluding investor directed portfolio services), debentures or stocks or bonds issued or proposed to be issued by a government, derivatives and foreign exchange contracts; and
- operate registered managed investment schemes (including the holding of any incidental property) that hold financial assets.



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We do not provide financial planning services or personal financial product advice. When we provide information to investors about our Funds, for example material relating to performance of the Funds and commentary about market movements, this may include general financial product advice in relation to those Funds. Information provided in this manner does not take into account your individual investment objectives, financial situation and needs. If you require personal financial product advice that is tailored to your individual circumstances, you should consult a financial adviser. Before making a decision whether to acquire, or to continue to hold an investment in a Fund, investors should obtain and consider the current PDS and Target Market Determination for the Fund issued by us and available at maple-brownabbott.com/document-library or by calling 1300 097 995.

We will be responsible for, the financial services we provide to you as described in this FSG. Whilst you deal directly with us, we also manage a range of service provider relationships in order to deliver our service to you. When you invest in a Fund through an investor directed portfolio service-like scheme, or a nominee or custody service (collectively referred to as an **IDPS**), you are not a direct investor in the Fund. You should refer to the IDPS operator and its disclosure documents to understand your rights and interests.

Generally, you can give us instructions by telephone, post, or email depending on the nature of the transaction. Specific details of how you may give us instructions are set out in the PDS for the relevant Fund.

Remuneration and benefits received by us or others for the financial products and services we provide

If you invest in any of our Funds, we will receive management fees in relation to that investment. We are also entitled to be reimbursed for certain costs and expenses incurred by us in the proper performance of the Fund's day to day operations. Details of the fees, costs (including any transaction costs and buy/sell spread) and expenses of investing in a Fund are contained in the PDS. We do not receive any additional fees for providing general product advice to you.

You can ask us for further information about any of the fees and costs referred to above, but you must do so within a reasonable time after receiving this guide and before a financial service is provided to you.

Our employees receive salaries, bonuses, and other benefits from us. Bonus payments and other benefits are discretionary and based on achievement of various individual and company performance objectives. These are paid from our own resources and are not an additional expense to you.

We may provide benefits to financial services intermediaries and wholesale client investors in the Funds where the law allows us to do so. These benefits may include individually negotiated fee rebates or waivers. These amounts are not an additional charge to the Fund or to you but are paid by us out of our own resources.

Ironbark Asset Management Pty Ltd ABN 53 136 679 420 | AFSL 341020 (**Ironbark**) has been appointed by us to provide adviser and distribution services in relation to the Maple-Brown Abbott Global Listed Infrastructure Fund and the Maple-Brown Abbott Global Listed Infrastructure Fund – Hedged. We pay Ironbark fees for their services out of our management fees and this is not an additional cost to you.

We may enter into transactions with, or use the services of, related parties. It is our policy to ensure that such arrangements are on an arm's length commercial terms. When we appoint related parties to provide services, any fees are paid out of the management fees and the costs referred to above and are not an additional expense to the Fund or cost to you.

Conflicts of interest

Potential conflicts may from time-to-time arise between the interests of investors, ourselves and related parties. We have a conflict of interests policy so that if and when a conflict or perceived conflict arises, we have appropriate measures in place to deal with it.

Compensation arrangements

We have professional indemnity insurance that meets the requirements of section 912B of the Corporations Act 2001 (Cth). Subject to the terms and conditions of the policy, the insurance provides cover for civil liability resulting from claims relating to the professional services provided by us and by our representatives while they are in our employ, including where the employee has subsequently left our employ after the services were provided.

Your privacy

Your right to privacy is important to us. A statement explaining your privacy rights and our rights and obligations in relation to your personal information is contained in the PDS for each Fund. Any personal information collected by us will be handled in accordance with our Privacy Policy. A copy of this policy is available free of charge by contacting us or by visiting maple-brownabbott.com/privacy-policy.

Complaints

We are committed to providing you with a high level of service. If you have a complaint about our financial products and services, please contact us using the following contact details:

T +61 2 8226 6200 | **E** invest@maple-brownabbott.com

We will generally acknowledge your complaint within one business day or as soon as possible after receiving the complaint. For standard complaints our response will be no later than 30 days after receipt of the complaint. If your complaint is complex, we will let you know if a different maximum response timeframe applies. Further details about our complaints procedure can be found on our website maple-brownabbott.com/contact-us.

If you believe your matter has not been dealt with satisfactorily, you can refer the matter to the Australian Financial Complaints Authority (**AFCA**). AFCA provides fair and independent financial services complaint resolution that is free to consumers. You can contact AFCA on 1800 931 678, by writing to AFCA at GPO Box 3, Melbourne VIC 3001 or by emailing info@afca.org.au.

Maple-Brown Abbott Limited

Level 26, Tower One, International Towers Sydney
100 Barangaroo Avenue, Barangaroo NSW 2000
maple-brownabbott.com

ABN 73 001 208 564
AFSL 237296