

# QUARTERLY COMPLIANCE DECLARATION

## INVESTMENT MANAGER

This Quarterly Compliance Declaration must be completed by ALL Investment Managers on a quarterly basis (ie. each quarter ending 30 March, 30 June, 30 September and 31 December).

### 1. INVESTMENT MANAGER DETAILS

Name of Fund

Name of Investment Manager

Date of Investment Management Agreement (dd/mm/yyyy)

#### Business Address

Unit no.

Street no.

Street name

Suburb / town

State

Postcode

Country

#### Contact Details

Phone

Email

### 2. REPORTING PERIOD

Reporting Period (dd/mm/yyyy)

From

To

### 3. QUARTERLY COMPLIANCE DECLARATION

In signing this declaration, we confirm that we have undertaken the necessary reviews and made appropriate enquires to enable us to confirm that over the Reporting Period, the Investment Manager has complied with and have not breached the terms of the Investment Management Agreement (the "Agreement").

Unless otherwise disclosed in the Exception section below, we confirm that for the Reporting Period:

		Tick to Confirm
<b>Business Operations</b>		
i. We hold an appropriate Australia Financial Services license (AFSL) (or are an Authorised Representative of an appropriate AFSL holder) required to conduct the Fund activities on behalf of the Trustee.		
ii. We continue to maintain appropriate insurance and have attached an updated certificate of currency of insurance policies (including professional indemnity insurance).		<input type="checkbox"/>
iii. We have conducted our service in accordance with the Agreement and have managed the Fund's assets in accordance with the Deed, Memorandum and any other documents agreed to between the Manager and Trustee from time to time.		
iv. There have been no corporate events affecting the Investment Manager's financial condition which has adversely affected its ability to perform its Services under the Agreement.		

Tick to Confirm	
<p><b>Business Operations (Continued)</b></p> <p>v. We continue to have available adequate financial resources to provide the Services under the Agreement</p> <p>vi. We have adequate compliance measures in place, including risk management systems, complaints management processes and conflicts of interest policies and have provided the Trustee with the most current copies of such.</p> <p>vii. There have been no changes to our investment or operational procedures which would have an adverse effect on the Fund.</p> <p>viii. We have an up-to-date business continuity plan in place.</p> <p>ix. We have appropriate procedures to ensure that Fund records are appropriately maintained for Fund investments.</p> <p>x. We are not aware of any material matters that may render the disclosures in the Information Memorandum inaccurate.</p>	<input type="checkbox"/>
<p><b>Key Staff and Segregation of Duties</b></p> <p>xi. There have been no changes to our officeholders or key staff relevant to the operations of the Fund.</p> <p>xii. We continue to maintain appropriate segregation of duties and all staff relevant to the operations of the Fund are appropriately trained and competent to provide the services for which we are contracted to provide.</p>	<input type="checkbox"/>
<p><b>Technology</b></p> <p>xiii. We have appropriate information technology systems in place to enable us to perform our duties under the Agreement.</p> <p>xiv. We have tested all new systems (if any) that are relevant to the Fund's operations before implementing them and have monitored these for effectiveness.</p>	<input type="checkbox"/>
<p><b>Breaches and Complaints</b></p> <p>xv. We have reported all breaches (if any) of the Agreement and the Memorandum to the Trustee.</p> <p>xvi. We have reported all complaints received by the Investment Manager (if any) to the Trustee.</p>	<input type="checkbox"/>

Exceptions

Signature


Date (dd/mm/yyyy)

Full Name

Title

Please return completed and signed declaration to:

 BMYG Capital Pty Ltd  
Level 4, 342-348 Flinders St  
Melbourne VIC 3000  
Australia

 [info@bmygcapital.com](mailto:info@bmygcapital.com)

If you have a question regarding this Form, please contact us on +61 1300 22 6666 or via email at [info@bmygcapital.com](mailto:info@bmygcapital.com)