



**HARVEST LANE**  
**ASSET MANAGEMENT**  
**ABSOLUTE RETURN FUND**

**Financial Services Guide (FSG)**

20 SEPTEMBER 2016

HARVEST LANE ASSET MANAGEMENT PTY LTD  
ABN 83 158 314 697

CAR No. 433046 of Harvest Lane Capital Pty Ltd  
AFSL 425 334

# Harvest Lane Asset Management Financial Services Guide

## Purpose and content of this Financial Services Guide

This Financial Services Guide (FSG) is an important document which provides you with information about Harvest Lane Capital Pty Ltd (Harvest Lane Capital, We, Us, Our) to help you decide whether to use Our financial services.

This FSG contains information on:

- Who We are;
- The services We offer;
- How We, Our representatives and other parties involved in providing the financial services are paid in relation to the services We offer;
- Compensation arrangements; and
- Details of how you can make a complaint about Us or the financial services We provide.

## Who is Harvest Lane Asset Management?

Harvest Lane Asset Management Pty Ltd (**Harvest Lane Asset Management**) is a corporate authorised representative (No. 000433046) of Harvest Lane Capital (AFSL No.425334) under which it is licensed to provide general financial product advice about, and deal in, certain financial products on behalf of retail and wholesale clients.

The preparation and distribution of this FSG has been authorised by Harvest Lane Capital Pty Ltd.

Fundhost Ltd (ABN 69 092 517 087 and AFSL No. 233045) (**Fundhost**) is the responsible entity and issuer of the Harvest Lane Asset Management Absolute Return Fund. Fundhost also provides some compliance, reporting and administration services to Harvest Lane Asset Management.

Fundhost has appointed Harvest Lane Asset Management as the investment manager of Harvest Lane Absolute Return Fund ARSN 614 662 627.

## Our contact details:

For queries about the investment approach or how the Fund is managed

Harvest Lane Asset Management Pty Ltd  
Level 9, 25 Bligh Street Sydney NSW 2000  
P: 1300 419 420  
F: +61 2 8076 3140

[enquiries@harvestlaneam.com.au](mailto:enquiries@harvestlaneam.com.au)  
[www.harvestlaneam.com.au](http://www.harvestlaneam.com.au)

For queries about your investment in the Fund, including new applications, redemptions or unit prices

Fundhost Ltd  
PO Box N561 Grosvenor Place NSW 1219  
P: +61 2 8223 5400  
[admin@fundhost.com.au](mailto:admin@fundhost.com.au)  
[www.fundhost.com.au](http://www.fundhost.com.au)

## The services and financial products We offer:

As corporate authorised representative of Harvest Lane Capital we deal in and offer general advice about the following classes of financial products-

- Basic deposit products;
- Derivatives;
- Debentures;
- Stocks or bonds issued or proposed to be issued by a government;
- Interest in a managed investment scheme (including an Investor Directed Portfolio Service (IDPS)); and
- Securities

We are authorised to provide these financial services to wholesale and retail clients.

## Getting personal advice:

We offer general advice only about products and services without investigating or commenting on their suitability for you.

Neither We nor Harvest Lane Capital is authorised to provide personal financial product advice which takes into account your objectives, financial situation and needs. You should consider the appropriateness of the advice provided in light of your own objectives, financial situation or needs.

Where relevant, to assist you in making an informed decision about a particular financial product, you will be provided with a product disclosure statement which contains information on the Harvest Lane Asset Management Absolute Return Fund such as investment strategy, benefits, risks and fees.

# Harvest Lane Asset Management Financial Services Guide

## Statement of Advice (SOA):

A statement of advice will normally be given to you when you are provided with personal advice. As we do not provide personal advice you will not receive a SOA from Us, but you may receive one from your financial advisor.

## Record keeping

Fundhost will seek to ensure that comprehensive and accurate records of all transactions and investments undertaken, and documentation executed, are properly maintained.

## Remuneration or other benefits received by Us:

We do not charge any fees directly with you. Fees We earn are charged on your investment in the Harvest Lane Asset Management Absolute Return Fund. The PDS details the fees as follows:

- Management and Expense Recovery Fee: Capped at 1.25% p.a
- Performance Fee: 25% of the amount by which the Fund outperforms its benchmark (RBA Cash Rate).

## Do We receive or pay referral fees?

From time to time, We may receive other benefits from service providers such as conferences, subsidised training and research. Our policy is to limit 'soft dollar' arrangements. In addition, (if received) We maintain a soft dollar register for these types of payments and ensure they accord with industry practice.

## Do We have any relationships or associations with financial product providers?

We have commercial arrangements in place with various product and or service providers to enable Us to execute transactions and provide financial services on your behalf. Any related fees and charges are described in this FSG.

## Conflicts of interest

We do not have any relationships or associations which might influence us in providing you with financial products and services.

## What are the compensation arrangements?

In line with section 912B of the Corporations Act 2001, Fundhost and Us have adequate professional indemnity insurance in place to cover Us for the financial services We provide. This insurance covers claims relating to the conduct of both past and present employees.

## What can I do if I have a complaint?

If you have a complaint about the financial services provided, you should first contact the person who provided the service to you.

If the complaint cannot be resolved in the first instance, you should contact Us in writing at the following address:

Dispute Resolution Officer  
Harvest Lane Capital Pty Ltd  
GPO Box 1449 Sydney NSW 2001  
P: 1300 419 420

When your complaint is received it will be entered onto Our complaints register. The matter will be investigated by Our Dispute Resolution Officer.

Complaints relating to the Harvest Lane Asset Management Absolute Return Fund should be sent to the Responsible Entity: Fundhost Limited.

Dispute Resolution Officer  
Fundhost Limited  
PO Box N561, Grosvenor Place Sydney NSW 1219  
P: +61 02 8223 5400

If Our Dispute Resolution Officer is unable to reach a satisfactory resolution within 45 business days of receipt, you have the right to refer the matter to Financial Ombudsman Service.

Financial Ombudsman Service Limited  
GPO Box 3 Melbourne VIC 3001  
P: 1300 780 808

[info@fos.org.au](mailto:info@fos.org.au)  
[www.fos.org.au](http://www.fos.org.au)

## Privacy:

The privacy of your personal information is important to Us and We are committed to the promotion of Our Privacy Policy. We must ensure privacy and security of your personal information in accordance with Our Privacy Policy. You can obtain a copy of the policy on request or it is available on Our website ([www.harvestlaneam.com.au](http://www.harvestlaneam.com.au)).

# Harvest Lane Asset Management Financial Services Guide

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Any questions?

If you have any further questions about Our financial services, please contact a Harvest Lane Capital representative on 1300 419 420 or refer to Our website at [www.harvestlaneam.com.au](http://www.harvestlaneam.com.au).