



Third Link Investment Managers Pty Limited Financial Services Guide

Dated: 25 October 2010
Third Link Investment Managers Pty Limited
ABN: 31 128 965 702
Australian Financial Services Licence No: 321611
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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 provides.

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

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 director 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

The authorised representative can give you general product information to help you decide but cannot provide you with personal advice on whether the product 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 managed investment scheme Third Link Growth Fund ARSN 130 165 552 (the Fund). Treasury Group Investment Services ABN 38 099 932 920 AFSL 227326 (TIS) 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 an Authorised Financial Products on behalf of the Fund.

Details about the Authorised Representatives

Name: Ashley Owen

Authorised Representative Number: **313636**

Address: Suite 1 Level 6, 6-10 O'Connell St Sydney NSW 2000

Telephone: (02) 9250 6500

Fax: (02) 8004 6701

Email: ashleyowen@bigpond.com

Ashely Owen has been in the finance industry since the early 1980s. During this time he has held senior executive roles in major banking & finance groups, including Citicorp, HSBC and ANZ where he ran business units and divisions in a range of areas such as lending, credit, financial control, marketing, branch networks, and corporate strategy. He also runs a private corporate advisory business specialising in venture capital, private equity, funding and capital raising for a range of businesses. Ashley has been a director of several companies including listed, private, charitable and not-for-profit organisations and is Chairman of the Asset Allocation & Portfolio Construction Committee of Centric Wealth Limited. He holds degrees in economic history, law and finance and is a Fellow of the Financial Services Institute of Australasia and a CFA® charter-holder. Ashley has written three books on finance and investing and is a regular media commentator and conference speaker on financial topics.

Name: Michael Traill

Authorised Representative Number: **324225**

Address: Suite 1 Level 6, 6-10 O'Connell St Sydney NSW 2000

Telephone: (02) 8004 6711

Fax: (02) 8004 6701

Email: mtraill@socialventures.com.au

Michael Traill has 15 years of experience as a co-founder and Executive Director of Macquarie Group's private equity business Macquarie Direct Investment. He is currently the Chief Executive of Social Ventures Australia (SVA) which he founded in 2002.

Name: Ross Pulido

Authorised Representative Number: **324224**

Address: Suite 1 Level 6, 6-10 O'Connell St Sydney NSW 2000

Telephone: (02) 8004 6728

Fax: (02) 8004 6701

Email: rpulido@socialventures.com.au

Ross Pulido has 10 years of experience in the finance industry encompassing trust administration, information technology and client relationship at Perpetual Limited and Pentafin Software. He is currently Manager, Operations & Client Services at Social Ventures Australia (SVA).

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. Michael Traill and Ross Pulido are salaried employees of SVA (who provides pro bono services to TLIM).

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 SVA.

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 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 are a member.

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

Compensation arrangements

TLIM has adequate compensation arrangements in place to compensate retail clients for loss or damage suffered as a result of the breach of relevant obligations of TLIM and the above named authorised representatives. TLIM complies with the Corporations Act requirements for such compensation.

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 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.