

# Register of Relevant Duties & Interests

30 June 2020

## Definitions for the purposes of this register:

A **Relevant duty** is defined as any duty owed by the RSE licensee, or a responsible person of the RSE licensee, to beneficiaries or to any other person that the RSE Licensee considers relevant because it might reasonably have the potential to significantly impact on the RSE Licensee acting in the members' best interests.

**Relevant interest** is an interest of the RSE, an associate of the RSE Licensee or a Responsible Person, that the RSE Licensee considers relevant because it might reasonably have the potential to significantly impact on the RSE Licensee acting in the members' best interests.

## Responsible Persons – Register of Relevant Duties and Interests

Responsible Person	Duties to Diversa as RSE Licensee	Other Relevant Duties	Relevant Interests Description
<b>Vincent Plant</b>	<ul style="list-style-type: none"> <li>Director (Chairman) and Responsible Person</li> <li>Chair of the Investment Committee</li> <li>Member of the ACRC</li> </ul>	<ul style="list-style-type: none"> <li>Director (Chairman) and Responsible Person of CCSL Limited</li> <li>Chair of the CCSL Investment Committee</li> <li>Member of the CCSL ACRC</li> </ul>	<ul style="list-style-type: none"> <li>Director fees from the appointment</li> </ul>
<b>Murray Jones</b>	<ul style="list-style-type: none"> <li>Director and Responsible Person</li> <li>Chair of the ACRC</li> </ul>	<ul style="list-style-type: none"> <li>Owner and Director of Compliance &amp; Risk Services Pty Ltd ('CRS'). Owing duties to other clients including other super funds.</li> </ul>	<ul style="list-style-type: none"> <li>Owner and Director of Compliance &amp; Risk Services Pty Ltd ('CRS').</li> </ul>
		<ul style="list-style-type: none"> <li>Director and Responsible Person of CCSL Limited</li> <li>Chair of the CCSL ACRC</li> </ul>	<ul style="list-style-type: none"> <li>Director fees from the appointment</li> </ul>
		<ul style="list-style-type: none"> <li>Outsourced internal auditor for the Holden Employees Super Fund.</li> </ul>	<ul style="list-style-type: none"> <li>Fees from the appointments</li> </ul>
<b>Robyn Fitzroy</b>	<ul style="list-style-type: none"> <li>Director and Responsible Person</li> <li>Member of the Investment Committee</li> </ul>	<ul style="list-style-type: none"> <li>Non-Executive Director of Gateway Bank</li> </ul>	<ul style="list-style-type: none"> <li>Director Fees</li> </ul>
		<ul style="list-style-type: none"> <li>Director of Self-Managed Superannuation Fund Association</li> </ul>	<ul style="list-style-type: none"> <li>Director Fees</li> </ul>
		<ul style="list-style-type: none"> <li>Principal and owner of Ixion Corporation</li> </ul>	<ul style="list-style-type: none"> <li>Owner of company</li> </ul>
		<ul style="list-style-type: none"> <li>Director of Football Federation of Australia</li> </ul>	<ul style="list-style-type: none"> <li>Pro Bono</li> </ul>

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<p><b>Fiona McNabb</b></p>	<ul style="list-style-type: none"> <li>• Director and Responsible Person</li> <li>• Member of the ACRC</li> </ul>	<ul style="list-style-type: none"> <li>• Director of related companies including:                             <ul style="list-style-type: none"> <li>○ Responsible Entity Partners Limited</li> <li>○ Sargon CT Pty Ltd,</li> <li>○ Sargon CT (NSW) Pty Ltd and</li> <li>○ Sargon SPV Management Pty Ltd</li> </ul> </li> <li>• Director and Responsible Person of CCSL Limited</li> <li>• Member of the CCSL Limited ACRC</li> <li>• Director and Responsible Person of Tidswell Financial Services Ltd</li> <li>• Chair of BARCC and Investment Committee                             <ul style="list-style-type: none"> <li>○ Tidswell Financial Services Ltd</li> <li>○ Responsible Entity Partners Ltd</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Director fees from the appointments across the group</li> </ul>
		<ul style="list-style-type: none"> <li>• Director of O’Brien Software Services Ltd, corporate trustee of Fiona McNabb Superannuation Fund</li> </ul>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
		<ul style="list-style-type: none"> <li>• Trustee of JMcNabb61 Super Fund</li> </ul>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
		<ul style="list-style-type: none"> <li>• Industry Fellow, Monash University</li> </ul>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

Responsible Person	Duties to Diversa as RSE Licensee	Other Relevant Duties	Relevant Interests Description
<b>Andrew Peterson</b>	<ul style="list-style-type: none"> <li>• Director and Responsible Person</li> <li>• AFSL Responsible Manager</li> <li>• Chief Operating Officer</li> <li>• Member of the Investment Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Director and/or Executive of related companies throughout the group including:                             <ul style="list-style-type: none"> <li>○ Responsible Entity Partners Limited</li> <li>○ Sargon CT Pty Ltd</li> <li>○ Sargon CT (NSW) Pty Ltd</li> <li>○ Sargon SPV Management Pty Ltd</li> </ul> </li> <li>• Director, Executive and Responsible Person of CCSL Limited</li> <li>• Member of the CCSL Limited Investment Committee</li> <li>• Director, Executive, AFSL Responsible Manager and Responsible Person for Tidswell Financial Services Ltd</li> </ul>	Salary from multiple appointments across the group
		<ul style="list-style-type: none"> <li>• N/A</li> </ul>	<ul style="list-style-type: none"> <li>• Shareholder of OneVue Holdings Limited – administration supplier to Diversa Trustees</li> </ul>
<b>Rachel Griffith</b>	<ul style="list-style-type: none"> <li>• Responsible Person –Senior Manager</li> <li>• Member of the Investment Committee</li> <li>• Head of Products and Services</li> </ul>	Company Secretary and/or Executive of related companies throughout the group including: <ul style="list-style-type: none"> <li>○ Sargon CT Pty Ltd</li> <li>○ Sargon CT (NSW) Pty Ltd</li> <li>○ Sargon SPV Management Pty Ltd</li> </ul> <ul style="list-style-type: none"> <li>• Company Secretary, Responsible Person</li> </ul>	<ul style="list-style-type: none"> <li>• Salary</li> </ul>

Responsible Person	Duties to Diversa as RSE Licensee	Other Relevant Duties	Relevant Interests Description
<b>Rachel Griffith (Continued)</b>		and AFSL Responsible Manager of Tidswell Financial Services Ltd  <ul style="list-style-type: none"> <li>• Company Secretary and AFSL Responsible Manager of Responsible Entity Partners Limited</li> <li>• Responsible Person and Member of the Investment Committee for CCSL Limited</li> </ul>	
		<ul style="list-style-type: none"> <li>• N/A</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
<b>Robert Good</b>	<ul style="list-style-type: none"> <li>• Responsible Person – Company Secretary</li> </ul>	<ul style="list-style-type: none"> <li>• Company Secretary and Responsible Person of CCSL Limited</li> </ul>	<ul style="list-style-type: none"> <li>• Shareholder of OneVue Holdings Limited – Administration service provider to Diversa Trustees</li> </ul>
<b>Josh Haymes</b>	<ul style="list-style-type: none"> <li>• Responsible Person – Senior Manager</li> <li>• AFSL Responsible Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible Person – Senior Manager and AFSL Responsible Manager of CCSL Limited</li> </ul>	<ul style="list-style-type: none"> <li>• Shareholder of OneVue Holdings Limited – Administration service provider to Diversa Trustees</li> </ul>
		<ul style="list-style-type: none"> <li>• N/A</li> </ul>	<ul style="list-style-type: none"> <li>• Shareholder (small holding) of Praemium Limited, a promotor and asset consultant for a Diversa Trustees Fund.</li> </ul>
<b>George Aivazidis</b>	<ul style="list-style-type: none"> <li>• Responsible Person – Senior Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible Person – Senior Manager of CCSL Limited</li> </ul>	<ul style="list-style-type: none"> <li>• Salary</li> </ul>
<b>Maria Dalton</b>	<ul style="list-style-type: none"> <li>• Responsible Person – Senior Manager and Chief Risk Officer</li> </ul>	<ul style="list-style-type: none"> <li>• Group Chief Risk Officer and Responsible Person of Tidswell Financial Services Ltd and CCSL Limited</li> </ul>	<ul style="list-style-type: none"> <li>• Salary</li> </ul>

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<b>Maree Pallisco</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of EY</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>David Kells</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of KPMG</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>George Sagonas</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of PWC</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Grant Layland</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of Grant Thornton</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Fiona O'Keefe</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of Deloitte</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Simon Trivett</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of Grant Thornton</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Frances Borg</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of Deloitte on behalf of the Audit Office of New South Wales</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Craig Stafford</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of PWC</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>Kate Logan</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>Partner of PWC</li> </ul>	<ul style="list-style-type: none"> <li>Audit fees</li> </ul>
<b>David O'Keefe</b>	<ul style="list-style-type: none"> <li>Responsible Person - RSE Actuary</li> </ul>	<ul style="list-style-type: none"> <li>Actuary at Alea Actuarial Consulting</li> </ul>	<ul style="list-style-type: none"> <li>Actuarial fees</li> </ul>

Updated effective 30 June 2020, revised 17/8/2020

## Corporate Entities with relevant Duties to Diversa or to whom Diversa has relevant duties

Entity Name	Activities/Functions performed for Diversa as RSE Licensee	Related Party Activities	Interest
<b>Pacific Infrastructure Partners Pty Ltd (PIP), Pacific Infrastructure Holdings Pty Ltd (PIH) and Diversa Holdco Pty Ltd.</b>	Holding companies and controlling entities of Diversa.	PIP and PIH are also holding companies of other companies within the wholly owned group.	Invested capital and payment of dividends.
<b>Pacific Infrastructure Services Pty Ltd</b>	Provider of some HR and IT services to Diversa under a Service Agreement.	Related party service providers to other entities in the wholly owned group.	Intercompany charges for services.
<b>Promotors and Sponsors of Diversa Funds</b>	Obligations to Diversa under promoter/sponsor agreements.	Potential interests arising from promoter/sponsor relationships with Diversa Funds.  Promotors and Sponsors may also provide investment management, asset consulting, administration and/or custodian services to Diversa Funds.	Promotor, Sponsor and Investment Management/consulting/Custodian Fees.
<b>Responsible Entity Partners Limited</b>	Diversa funds may invest in schemes for which REPL is the Responsible Entity	Potential for conflict between interests of REPL as RE and interests of members of Diversa funds.	Investment Management fees.

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