



# Register of Relevant Duties and 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 CCSL 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 Diversa Trustees Limited</li> <li>• Chair of the Diversa Investment Committee</li> <li>• Member of the Diversa 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 Diversa Trustees Limited</li> <li>• Chair of the Diversa 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>Fiona McNabb</b>	<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 (NSW) Pty Ltd</li> <li>○ Sargon SPV Management Pty Ltd</li> <li>○ Sargon CT Pty Ltd</li> </ul> </li> <li>• Director and Responsible Person of Diversa Trustees Limited</li> <li>• Member of the Diversa ACRC</li> </ul>	<ul style="list-style-type: none"> <li>• Director fees from the appointments across the group</li> </ul>



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<b>Fiona McNabb (Continued)</b>		<ul style="list-style-type: none"> <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 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>
<b>Andrew Peterson</b>	<ul style="list-style-type: none"> <li>• Director and Responsible Person</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 Diversa Trustees Limited</li> <li>• Member of the Diversa Investment Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Salary from multiple appointments across the group</li> </ul>



Responsible Person	Duties to CCSL as RSE Licensee	Other Relevant Duties	Relevant Interests Description
<b>Andrew Peterson (Continued)</b>		<ul style="list-style-type: none"> <li>Director, Executive, AFSL Responsible Manager and Responsible Person for Tidswell Financial Services Ltd</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 Diversa Trustees Limited</li> </ul>	<ul style="list-style-type: none"> <li>Salary</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 Diversa Trustees Limited</li> </ul>	<ul style="list-style-type: none"> <li>Salary</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 Diversa Trustees 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</li> <li>Chief Risk Officer</li> </ul>	<ul style="list-style-type: none"> <li>Group Chief Risk Officer and Responsible Person of Tidswell Financial Services Ltd Diversa Trustees Limited</li> </ul>	<ul style="list-style-type: none"> <li>Salary</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 and AFSL Responsible Manager of Tidswell Financial Services Ltd</li> </ul>	<ul style="list-style-type: none"> <li>Salary</li> </ul>



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<b>Rachel Griffith (Continued)</b>		<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 Diversa Trustees Limited</li> </ul>	
<b>George Segonas</b>	<ul style="list-style-type: none"> <li>• RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>• Partner at PWC</li> </ul>	<ul style="list-style-type: none"> <li>• Audit Fees</li> </ul>
<b>Simon Trivett</b>	<ul style="list-style-type: none"> <li>• RSE Auditor</li> </ul>	<ul style="list-style-type: none"> <li>• Partner at Grant Thornton</li> </ul>	<ul style="list-style-type: none"> <li>• Audit Fees</li> </ul>

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

Entity Name	Activities/Functions performed for CCSL as RSE Licensee	Related Party Activities	Interest
<b>Pacific Infrastructure Partners Pty Ltd (PIP) and Pacific Infrastructure Holdings Pty Ltd (PIH)</b>	Holding companies and controlling entities of CCSL Limited.	PIP and PIH are also holding companies of other companies within the wholly owned group.	<ul style="list-style-type: none"> <li>Invested capital and payment of dividends.</li> </ul>
<b>Pacific Infrastructure Services Pty Ltd</b>	Provider of some HR and IT services to CCSL Limited under a Service Agreement.	Related party service providers to other entities in the wholly owned group.	<ul style="list-style-type: none"> <li>Intercompany charges for services.</li> </ul>
<b>Promotors and Sponsors of CCSL Limited Funds</b>	Obligations to CCSL Limited under promoter/sponsor agreements.	<p>Potential interests arising from promoter/sponsor relationships with CCSL Limited Funds.</p> <p>Promotors and Sponsors may also provide investment management, asset consulting, administration and/or custodian services to other group funds.</p>	<ul style="list-style-type: none"> <li>Promotor, Sponsor and Investment Management/consulting/Custodian Fees.</li> </ul>



Entity Name	Activities/Functions performed for CCSL as RSE Licensee	Related Party Activities	Interest
<b>Responsible Entity Partners Limited</b>	CCSL Limited 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 CCSL Limited funds.	<ul style="list-style-type: none"> <li>Investment Management fees.</li> </ul>
	Asset consultants providing services to the CCSL Funds may be related to Investment Managers appointed by REP due to a minority ownership interest in Freehold Investment Management being held by the asset consultant	Potential for conflict between interests of CCSL Funds and interests of the asset consultant	<ul style="list-style-type: none"> <li>Investment Consulting Fees.</li> </ul>

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