



New Investment Option Request

This form should be used to request a new investment option to be added to the Insignia Financial Platform investment menus, including where a new client is requesting an in specie transfer of existing holdings. The completed form must be returned to the Investment Governance team with any supporting documentation.

Step 1: Investment option details

Investment option name

ASX/APIR code

Fund manager / company name

Fund manager / company contact name

Phone number

Email

Insignia Financial employee requesting the investment option on behalf of adviser

Name

Step 2: Suitability check

Does this investment option meet the minimum requirements for Insignia Financial Platforms (external research rating and funding commitments)? Yes No

Step 3: Request originator

Minimum 5 advisers if funding commitment is \$5,000,000. Any variance please contact the National Sales Manager – Platforms.

Adviser name	Licensee name	Commitment amount (\$)
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Use the space below to provide a short explanation of the reason you wish the above investment option to be included in the Insignia Financial Platform investment menus.

Brief description on why the investment option should be considered for addition onto the platform investment menus (eg added to model portfolios, no current equivalent offering, client suitability). Any other requests should be outlined here as well.

Have all equivalent platform menu investment options been considered?

Is the investment option already available on any Insignia Financial platforms? Yes No

If yes, please list which Insignia Financial platforms

Step 4: External research

List the external research available for this investment option and attach to this request when forwarding to the Investment Governance team.

Research provider	Rating

Step 5: Funding commitments

New monies

First 12 months \$

Note: 'New Monies' refers to new contributions into the investment option.

Step 6: Independent Financial Adviser (IFA) menu compliance (OFM only).

Has the IFA compliance team approved the investment option for the applicable menu APL?

Mentor Wealthtrac N/A

