

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 inspecie 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 (\$)
]] [

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 L____ Wealthtrac L____ N/A

\$

Step 7: Platform inclusion

Please confirm which platform the investment option is being considered for:

Shadforth Portfolio Service	Grow Wrap	Expand Extra	Rhythm
Other			

Insignia Financial use only

This form must be approved by one of the following signatories – Daniel Dalton (IIML/NAL); Julie Wise (IIML/NAL); Andrew Rockliff (IIML/IISL/OPC/OFM/NAL); Cameron Spittle (IIML/IISL/NAL); or Michael Knafelman (IIML/NAL – SPS only). Please provide the name of the signatory in addition to signing off on the request below.

Nan	ne																	
Sign	atu	re			 	 	 	 	 	 								
												Date	2		 	7	 	
														/		/		

Please forward the completed form to the Investment Governance team.

Investment Option guidelines

The guidelines set out the specific requirements needed for a new investment option to be reviewed for possible inclusion on the Insignia Financial platforms.

Step 1	The Request
	Please note the indicative timeframes. For the investment option to be approved for the Insignia Financial platform investment menus it could take between 8–12 weeks depending on STIC/CIIC/BIC cycle.
	Requests are to be submitted to your Insignia Financial representative who will organise the request for submission to the relevant committee, Superannuation Trustee Investment Committee(STIC) / Combined IDPS Investment Committee (CIIC) / Board Investment Committee (BIC)
	Please note: Submission to the STIC/CIIC/BIC does not guarantee approval of your requested investment option. If this investment option request relates to a new fund manager this may extend the indicative timeframes due to Due Diligence requirements.
Step 2	Investment option review by Insignia Financial Research team and Insignia Financial Investment Governance team
	The Insignia Financial Research team and Insignia Financial Investment Governance team will conduct Due Diligence and administrative reviews of the investment option (6–8 weeks).
Step 3	Approval by STIC/CIIC/BIC
	The STIC/CIIC/BIC will consider the merits of the requested investment option and either approve or decline the investment option for addition to the Insignia Financial platform investment menu(s).
Step 4	Investment option set-up
	Following approval, the investment option will go through the necessary process and procedures to be set up on the Insignia Financial platform investment menu(s) (4–12 weeks).
Step 5	Notification
	You will be notified via the Bulletin Board/Investment Menu News if the investment option has been approved and included on the Insignia Financial platform(s) for access.
Step 6	Investing
	Once accessible, advisers/clients may begin sending investment instructions and switch requests via the normal channels.

Important note

Investment Option Removal/Closure

Should total inflows into the investment option fail to reach volumes of \$5 million (\$1 million for securities) over the next 12 months, the STIC/CIIC/BIC reserves the right to remove/close the investment option. In the event that an investment option is removed/closed to all further investment, unitholders will be notified.