



## New Managed Fund Request

Please complete these instructions in **BLACK INK** using **CAPITAL LETTERS** (except for your email address) and **✓** boxes where provided.

This form should be used to request a new managed fund be added to the IOOF Platform investment menu. The completed form must be authorised by the licensee and returned to your IOOF Business Development Manager or your IOOF Workplace Solution Manager.

### Step 1: Managed fund details

Fund manager name

Fund name

APIR code

Fund manager contact name

Phone number

**Note:** Please be aware that prior to new funds being added to the investment menu, Trustee and Platform Investment Committee approval needs to be sought and the funds included on the Investment Options list.

### Step 2: Fund suitable check

Does this fund meet the minimum requirements for IOOF Platforms?  Yes  No  Not sure

Refer to the 'Fund guidelines and checklist'

### Step 3: Request originator

Adviser name

Licensee name

Phone number    Mobile

Use the space below to provide a short explanation of the reason you wish the above fund to be included in the IOOF Platform investment menu.

### Step 4: Research

List the research available for this fund and attach to this request when forwarding to IOOF.

Research provider	Rating

## Step 5: Funding commitments

	Switches		New monies
First 2 months	\$ <input style="width: 150px; height: 20px;" type="text"/>		\$ <input style="width: 150px; height: 20px;" type="text"/>
First 12 months	\$ <input style="width: 150px; height: 20px;" type="text"/>		\$ <input style="width: 150px; height: 20px;" type="text"/>

**Note:** 'Switches' refers to funds being transferred from other products on the investment menus. 'New Monies' refers to new contributions or investments coming into the master trust.

## Step 6: Platform inclusion

Please confirm which platform the fund is being considered for

Pursuit  
  AET  
  IOOF Employer Super  
  IOOF Personal Super  
  IOOF Pension

## Step 7: Request approval

In accordance with the above, I recommend that the requested fund be assessed for inclusion in the IOOF Platform investment menu and made available to all advisers in our group. I acknowledge that failure to meet the above-mentioned prospective volume targets may result in further requests I put forward being given less serious consideration by the Trustee. I also acknowledge that the Trustee reserves the right to reject this application if it does not meet the trustee's requirements or (where approved) close the fund after 12 months, should it fail to meet funding requirements.

Adviser name

Adviser signature  Date  /  /

I acknowledge that the requested fund is a licensee-approved product.

Adviser name

Adviser signature  Date  /  /

**Please forward all correspondence and queries to your IOOF Business Development Manager or your IOOF Workplace Solutions Manager.**

### IOOF use only

1. Sales person requesting the fund on behalf of adviser

Name

2. Have all equivalent platform menu products been considered?

3. Is the fund already available on any IOOF platforms?

Yes    No

If so list which

## Fund guidelines and checklist

This procedure is designed to support the administration of the IOOF Platforms master trust and in turn protect the delivery of service to clients and advisers. It outlines the standard prerequisites for adding investments to the IOOF Platforms.

The guidelines set out the specific funding requirements needed for a new managed fund to be added to the investment menu.

<b>Step 1</b>	<p><b>The Request</b></p> <p>Advisers and licensees are to request that a new managed fund be added to the investment menu by completing the New Managed Fund Request form and returning it to IOOF. This form can be obtained from your Business Development Manager.</p> <p>This form must be completed and received by IOOF Employer Super by the following quarterly deadlines:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #2c3e50; color: white;"> <th colspan="3">Key Calendar Dates</th> </tr> <tr style="background-color: #27ae60; color: white;"> <th>Quarter</th> <th>Your deadline</th> <th>Approved fund release</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">28 February</td> <td style="text-align: center;">1 April</td> </tr> <tr> <td style="text-align: center;">2</td> <td style="text-align: center;">31 May</td> <td style="text-align: center;">1 July</td> </tr> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">31 August</td> <td style="text-align: center;">1 October</td> </tr> <tr> <td style="text-align: center;">4</td> <td style="text-align: center;">30 November</td> <td style="text-align: center;">1 January</td> </tr> </tbody> </table> <p><b>Please note:</b> Completion of this form does not guarantee approval of your requested fund.</p>	Key Calendar Dates			Quarter	Your deadline	Approved fund release	1	28 February	1 April	2	31 May	1 July	3	31 August	1 October	4	30 November	1 January
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3	31 August	1 October																	
4	30 November	1 January																	
<b>Step 2</b>	<p><b>Product Review by Platform Investment Committee (PIC)</b></p> <p>The PIC will conduct due diligence on the requested product to ensure it meets the minimum administration requirements. The PIC will also review external product research.</p>																		
<b>Step 3</b>	<p><b>Approval by PIC</b></p> <p>The PIC will consider the merits of the requested product and either approve or decline the product for addition to the investment menu(s).</p>																		
<b>Step 4</b>	<p><b>Approval by the Trustee</b></p> <p>The PIC will notify the Trustee of its approval/disapproval and the reasoning behind its decision. The Trustee will then consider all operational matters pertaining to the requested fund.</p>																		
<b>Step 5</b>	<p><b>Notification to Advisers/Licensees</b></p> <p>IOOF will notify the advisers/licensees that the product has either been approved or declined by the PIC/Trustee.</p>																		
<b>Step 6</b>	<p><b>Investing</b></p> <p>Once approved, advisers may begin sending in signed application forms and switch requests via the normal channels.</p>																		
<b>Step 7</b>	<p><b>Fund Closure</b></p> <p>Should total inflows into the fund fail to reach volumes of \$1 million, the Trustee reserves the right to close the fund. In the event that a fund is closed, all investors will be notified of the replacement investment.</p>																		

Please use the following chart to assess whether the managed fund you are proposing for inclusion on the IOOF Platform investment menu meets the minimum inclusion criteria.

Are prospective initial total volumes at least \$1 million over the first 12 months?\*

Yes  No

Is this a 'wholesale' managed fund?

Yes  No

Is a Product Disclosure Statement available?

Yes  No

Is the fund unit-priced, and if so, is it priced daily?

Yes  No

\* Total volumes refer to volumes received from all advisers