

## **Register of Relevant Duties and Relevant Interests Suncorp Portfolio Services Limited (SPSL)**

### **Register of relevant duties and relevant interests of Suncorp Portfolio Services Limited (SPSL) (RSE Licensee) and its Responsible Persons**

SPSL is the trustee of the Suncorp Master Trust and the Suncorp Pooled Superannuation Trust. The composition of the Board of SPSL includes four independent, non-executive directors and two executive directors. SPSL outsources administrative and other functions to Suncorp Life and Superannuation Limited (**SLSL**), a group entity of Suncorp, and other external service providers. SPSL offers products and services to its beneficiaries that are provided by group entities within Suncorp, as well as other external providers. SPSL is part of the Banking & Wealth business function of the Suncorp Group.

#### **Relevant duties**

A “duty” for the purpose of the Register refers to a legal duty owed by a Responsible Person of SPSL to another person or entity (including an RSE Licensee, a related party entity or an external entity).

A duty of a Responsible Person is relevant where the duty:

- could, or could reasonably be perceived to, impair the ability of the Responsible Person to properly discharge his/her duty to the members of SPSL. This could occur where the competing duty could impair the Responsible Person’s ability to exercise independent judgement or to devote the necessary time and attention required to discharge the duty to the members of SPSL.

#### **Relevant interests**

- An “interest” for the purpose of the Register, refers to an interest, gift, payment or benefit (whether pecuniary or non-pecuniary) held by a Responsible Person of SPSL, or an associate of that person, which is, or could reasonably be perceived to be, an interest which has the potential to influence the Responsible Person to act in a manner which is inconsistent with the best interests of the members of SPSL.

In accordance with the Conflicts of Interest Policy, SPSL considers that interests with a value under the threshold of \$300 are not sufficiently material to reasonably be considered to have the potential impact described above, and, therefore, are not ‘relevant’ for the purposes of disclosure on the Register. Notwithstanding this, where interests are regularly received (whether in any given month or over a longer period of time), then the interests must be disclosed and steps must be taken to ensure that any Conflict is managed and appropriately recorded.

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Name	Position	Responsibilities	Relevant Duties	Relevant Interests
James Evans	<p>Non-Executive Director, SPSL appointed 13/7/2009</p> <p>Chairman, SPSL</p> <p>Member, Board Audit Committee, SPSL</p>	Non-Executive Director, SPSL	<p>Director of –</p> <ul style="list-style-type: none"> <li>• Pental Group Limited, appointed 2/6/2010</li> <li>• JO Hambro Capital Management Holdings Limited, appointed 1/11/2016</li> <li>• Investa Wholesale Funds Management Limited, appointed 28/7/2011</li> <li>• The Investa Property Group</li> </ul> <p>Other positions held -</p> <ul style="list-style-type: none"> <li>• Pental Group Limited Non-Executive Chairman, appointed December 2013,</li> <li>• Investa Wholesale Funds Management Limited, Chair, Audit &amp; Risk Committee</li> <li>• The Investa Property Group, Chair, Audit &amp; Risk Committee</li> </ul>	Shareholder of Pental Group Limited shares. All held in a family trust and self-managed superannuation fund.
Jan Swinhoe	<p>Non-Executive Director, SPSL appointed 16/8/2013</p> <p>Member, Board Audit Committee, SPSL</p> <p>Chair, Trustee Investment</p>	Non-Executive Director, SPSL	<p>Director of –</p> <ul style="list-style-type: none"> <li>• IMB Limited, appointed 20/10/2014</li> <li>• Mercer Superannuation (Australia) Limited, appointed 1/7/2014</li> <li>• Australian Philanthropic Services Limited, appointed 24/2/2012</li> <li>• Athletics Australia</li> <li>• Swiss Re Life &amp; Health Australia Limited, appointed 23/5/2016</li> </ul> <p>Other positions held-</p>	Shareholder of Suncorp Group Limited shares. All held in a family trust and self-managed superannuation fund.

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Name	Position	Responsibilities	Relevant Duties	Relevant Interests
	Committee, SPSL		<ul style="list-style-type: none"> <li>• Mercer Superannuation (Australia) Limited, Non-Executive Chair</li> <li>• Swiss Reinsurance Company Limited (Advisory Board), appointed 23/5/2016</li> </ul>	
Kathy Grigg	Non-Executive Director, SPSL appointed 27/7/2015  Chair, Board Audit Committee, SPSL	Non-Executive Director, SPSL	Director of – <ul style="list-style-type: none"> <li>• Australian Pork Limited, appointed 2008</li> <li>• PorkScan Pty Ltd, appointed 2016</li> <li>• Navy Health Limited, appointed 2005</li> </ul> Other positions held – <ul style="list-style-type: none"> <li>• PorkScan Pty Ltd, Non-Executive Chair</li> <li>• Department of Treasury and Finance, Victoria, Chairman Audit and Risk Committee, appointed 2014</li> <li>• Deakin University, Deputy Chancellor, Council Member, Chair Investment Committee, appointed 2009, Member, Chancellor’s Advisory Committee, Member, Remuneration Committee</li> <li>• Euroa Health, Member, Finance Committee</li> <li>• ACCC, Member, Audit Committee</li> </ul>	Shareholder of Suncorp Group Limited shares. All held in a self-managed superannuation fund.
Henry Capra	Non-Executive Director, SPSL, appointed 5/3/2016	Non-Executive Director, SPSL	Director of - <ul style="list-style-type: none"> <li>• ASPECT (Autism Spectrum Australia)</li> <li>• Millinium Capital Managers Limited, appointed 3/3/2016</li> </ul>	

Current as at September 2018

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Name	Position	Responsibilities	Relevant Duties	Relevant Interests
	<p>Member, Board Audit Committee, SPSL</p> <p>Member, Trustee Investment Committee, SPSL</p>		<ul style="list-style-type: none"> <li>• CBHS Corporate Health Pty Limited, appointed 1/1/2017</li> </ul> <p>Other positions held -</p> <ul style="list-style-type: none"> <li>• CBHS Corporate Health Pty Limited, Non-Executive Chair, appointed 15/3/2018</li> <li>• ASPECT (Autism Spectrum Australia), Chair, Audit &amp; Risk Committee</li> <li>• CBHS Corporate Health Pty Limited, Member, Audit &amp; Risk Committee</li> <li>• Multicultural NSW, Member, Audit &amp; Risk Committee, appointed 10/4/2018</li> </ul>	
David Carter	<p>Executive Director, SPSL, Appointed 18/9/2018</p> <p>Member, Trustee Investment Committee, SPSL</p>	Executive Director, SPSL, appointed 18/9/2018	<p>Director of-</p> <ul style="list-style-type: none"> <li>• Suncorp Metway Advances Corporation Pty Ltd *</li> <li>• SME Management Pty Limited *</li> <li>• SPDEF#2 Pty Ltd *</li> </ul>	<p>Member of the following Superannuation Funds:</p> <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> <p>Suncorp Group Limited shareholder</p> <p>CEO, Banking and Wealth, Suncorp Group *</p>
Rachna Gandhi-Arora	Executive Director, SPSL, Appointed 18/9/2018	Executive Director, SPSL, appointed 18/9/2018		EGM, Customer Strategy & Digital, Suncorp Group *
Darren Solomon	Company Secretary, SPSL	Company Secretary, Suncorp Group Limited and SPSL	Director and Secretary of other Suncorp Group subsidiaries.	<p>Member of the following Superannuation Funds:</p> <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> <p>Suncorp Group Limited shareholder</p>

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<b>Name</b>	<b>Position</b>	<b>Responsibilities</b>	<b>Relevant Duties</b>	<b>Relevant Interests</b>
				Head of Company Secretariat, Finance, Legal & Advice, Suncorp Group *
Kristy Huxtable	Company Secretary, SPSL	Company Secretary, Suncorp Group Limited and SPSL	Director and Secretary of other Suncorp Group subsidiaries.	Member of the following Superannuation Funds: <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> Suncorp Group Limited shareholder  Company Secretary, Finance, Legal & Advice, Suncorp Group *
David Kells	Auditor, SPSL, appointed 4/3/2016	Auditor, SPSL, Suncorp Master Trust and Suncorp Pooled Superannuation Trust		
David Carter	Responsible Person, SPSL, Appointed 1/4/2016	Responsible Person, Chief Executive Officer Banking & Wealth	Director of- <ul style="list-style-type: none"> <li>• Suncorp Metway Advances Corporation Pty Ltd *</li> <li>• SME Management Pty Limited *</li> <li>• SPDEF#2 Pty Ltd *</li> </ul>	Member of the following Superannuation Funds: <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> Suncorp Group Limited shareholder  CEO, Banking and Wealth, Suncorp Group *
Christine Traquair	Responsible Person, SPSL Appointed 10/6/2016	Responsible Person, Chief Risk Officer Banking & Wealth		Member of the following Superannuation Funds: <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> Suncorp Group Limited shareholder  CRO, Banking & Wealth, Suncorp Group *
Alana Bailey	Responsible Person, SPSL Appointed 28/11/2016	Responsible Person, Chief Financial Officer Banking & Wealth		Member of the following Superannuation Funds: <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> Suncorp Group Limited shareholder  CFO, Banking & Wealth, Suncorp Group *

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Name	Position	Responsibilities	Relevant Duties	Relevant Interests
Maurice Pinto	Responsible Person, SPSL Appointed 26/4/2018  Chair, Trustee Claims Review Committee, SPSL	Responsible Person, Executive Manager Office of the Superannuation Trustee		Member of the following Superannuation Funds: <ul style="list-style-type: none"> <li>• Suncorp Employee Super Plan</li> </ul> Suncorp Group Limited shareholder

\* Suncorp Portfolio Services Limited, Suncorp-Metway Limited, Suncorp Life & Superannuation Limited, Suncorp Corporate Services Pty Ltd, Suncorp Funds Pty Ltd, Home Repair.net.au Pty Ltd, Suncorp Metway Advances Corporation Pty Ltd, SME Management Pty Limited and SPDEF#2 Pty Ltd are related bodies corporate of the Suncorp Group.

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### SPSL Conflicts Register

The duty that persons listed in this Register have to other companies/organisations are relevant to the duty the person has to SPSL for the reasons outlined below. The control measures in the last column are employed to manage the conflict.

REASON FOR RELEVANCE	COMPANY OR ORGANISATION	CONTROLS
<p>These companies are ongoing <b>service providers to SPSL</b>. In addition to their duties to SPSL, the people listed also have a duty to this company.</p> <p>There is the potential that the interests of SPSL and its beneficiaries may not be in alignment with the interests of these companies and for the persons listed in this Register to influence the performance or assessment of this service provider.</p>	<ul style="list-style-type: none"> <li>• <b>Suncorp Life and Superannuation Limited</b> administration services: David Carter, Rachna Gandhi-Arora, Christine Traquair, Alana Bailey, Darren Solomon, Kristy Huxtable</li> </ul>	<p><b>One or more of the following:</b></p> <ul style="list-style-type: none"> <li>• Abstaining from voting on the matter;</li> <li>• Restricted access to the relevant Board paper;</li> <li>• Absence from the Board meeting for the relevant agenda item</li> </ul> <p><b>In addition to:</b></p> <ul style="list-style-type: none"> <li>• Standing conflicts agenda item for all Board and Committee meetings</li> <li>• Standard conflicts section on Board and Committee Submission Template documents</li> <li>• Annual training of Responsible Persons</li> </ul>
<p>These companies are <b>product providers to SPSL</b>. In addition to their duties to SPSL, the people listed also have a duty to this company.</p> <p>There is the potential that the interests of SPSL and its beneficiaries may not be in alignment with the interests of these companies and for the persons listed in this Register to influence the performance or assessment of these product providers.</p>	<ul style="list-style-type: none"> <li>• <b>Suncorp Life and Superannuation Limited</b> <b>Suncorp Corporate Services Pty Ltd</b> <b>Suncorp Funds Pty Ltd</b> <b>Suncorp-Metway Limited</b> Suncorp investment pools and life insurance: David Carter, Rachna Gandhi-Arora, Christine Traquair, Alana Bailey, Darren Solomon, Kristy Huxtable</li> <li>• <b>Pendal Group Limited</b> Investment options: James Evans</li> </ul>	<p><b>One or more of the following:</b></p> <ul style="list-style-type: none"> <li>• Abstaining from voting on the matter;</li> <li>• Restricted access to the relevant Board paper;</li> <li>• Absence from the Board meeting for the relevant agenda item</li> </ul> <p><b>In addition to:</b></p> <ul style="list-style-type: none"> <li>• Standing conflicts agenda item for all Board and Committee meetings</li> <li>• Standard conflicts section on Board and Committee Submission Template documents</li> <li>• Annual training of Responsible Persons</li> </ul>