



CFMG
Capital

Due Diligence Questionnaire



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The following questions may assist CFMG Equity and Income Fund in meeting its regulatory obligations by determining whether this financial product is being offered to the stated target market.

Was this investment made based on personal advice received from your financial adviser?

Yes – if so, please provide the details of your financial advisor.

No - please complete the questions below.

Please read and answer the following questions carefully: It is important for you to consider if the fund you are applying to invest in is in line with your needs and objectives for the portion of your investment portfolio that you intend to invest in this fund. In other words, the questions below should be answered having regard to what you are seeking from this particular investment - not what you may be seeking more generally from your overall investment portfolio as a whole.

All financial products provide different features, objectives, risks and return profiles.

You can understand more about the specific objectives and outcomes that the fund seeks to accomplish and to determine whether the fund is appropriate for your needs by consulting the fund's PDS and SPDS.

The following questions assist the issuer in meeting its regulatory obligations by enabling it to assess whether the selected fund is being offered to the stated target market. We reserve the right to refuse your application.

A. What is your primary investment objective in relation to this investment? (tick only one option)

You are seeking an investment which provides Capital Growth

Capital Growth, also known as capital appreciation or capital gain, refers to an increase in the value of an asset over time. Capital Growth is not guaranteed, and the value of an investment can also decrease, resulting in capital losses. You should consider the amount of risk you are willing to accept to achieve a capital growth, (or loss) outcome.

You are seeking an investment which provides Capital Preservation

A Capital Preservation strategy is a strategy employed by certain types of investment funds with the primary objective of protecting the capital invested. Generally, funds designed to provide Capital Preservation have a lower risk profile and are less volatile than growth investments. You should consider if you are willing to accept lower returns (growth or income) as a result of choosing a fund with a lower risk profile.

You are seeking an investment which provides Income Distribution

Income Distribution refers to the income generated from the assets within a fund that is regularly paid out or distributed to investors periodically. The level of income generated will typically change each period and there is no guarantee of income being available each period.

B. Are you seeking a source of supplemental income (which may not be regular or recurrent) in addition to the above investment objective? (tick only one option)

Yes

No

C. What is your investment timeframe in relation to this investment? (tick only one option)

Equal to 7 years or more (i.e. Long term)

Equal to 5 years but less than 7 years (i.e. Medium to long term)

More than 2 years but less than 5 years (i.e. Medium term)

Up to and including 2 years (i.e. Short term)

D. Under normal circumstances, within what period do you expect to be able to access your funds for this investment? (tick only one option)

- At issuer's discretion
- Within one year of the request
- Within three months of the request
- Within one month of the request
- Within one week of the request

E. In relation to this investment, which investment risk and return profile best describes you? (tick only one option)

We note again, that this question is in relation to this investment in particular, and not to your overall risk and return profile. In other words, what role are you expecting the fund to play in your overall portfolio.

I am seeking a fund with a low risk and return profile:

You are looking for an investment that is low risk in nature (e.g. you have the ability to tolerate up to one negative return over a 20-year period and you are comfortable with a low target return from this investment. Funds designed to provide low risk and return typically provide capital preservation.

I am seeking a fund with a medium risk and return profile:

You are looking for an investment that is moderate or medium risk in nature (e.g. you have the ability to tolerate up to four negative returns over a 20-year period and you are comfortable with a moderate target return from this investment. Funds designed to provide a medium risk and return are typically invested in defensive assets, such as fixed income products).

I am seeking a fund with a high risk and return profile:

You are looking for an investment that is higher risk in nature (e.g. you have the ability to tolerate up to six negative returns over a 20-year period in order to achieve a higher target return from this investment. Funds with a high risk and return are typically invested in growth assets which include shares and property investments).

F. What percentage of your total investable assets are you directing into this fund (i.e. the total assets you have available for investment, excluding your residential home)? (tick only one option)

- Satellite allocation (up to 10%)
- Minor allocation (up to 25%)
- Core component (up to 50%)
- Major allocation (up to 75%)
- Solution/Standalone (up to 100%)



CFMG
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