

A photograph of a person with a backpack and a dog walking on a dirt path through tall grass. The person is on the left, wearing a black jacket and a backpack. The dog is on the right, looking towards the ocean. The background shows a coastline with trees and a clear sky.

IOOF

## Register of Relevant Duties and Relevant Interests

30 June 2021

IOOF Investment Management Limited ABN 53 006 695 021

AFSL 230524 RSE L0000406

## Register of Relevant Duties and Relevant Interests – Responsible Persons

IOOF Investment Management Limited (**IIML/Trustee**), ABN 53 006 695 021, AFSL 230524

- IOOF Portfolio Service Superannuation Fund
- AvWrap Retirement Service
- SMF Eligible Rollover Fund
- AET Small APRA Funds

(Collectively referred to as “the Funds”).

The table below is the register of duties and interests which have been determined to be ‘Relevant Duties’ and ‘Relevant Interests’ for the purposes of the IOOF Conflicts of Interest Policy (Policy) and Prudential Standard SPS 521 Conflicts of Interest. The Relevant Duties and Relevant Interests listed are those of the Trustee and its Responsible Persons.

A relevant duty or a relevant interest is one that might reasonably be considered to have the potential to have a significant impact on the capacity of the RSE licensee, the associate of the RSE licensee or the responsible person with the relevant duty or holding the relevant interest, to act in a manner that is consistent with the best interests of beneficiaries: Prudential Standard SPS 521 Conflicts of Interest paragraph 16.

The Register is required under Section 29QB(1)(b) of the Superannuation Industry (Supervision) Act 1992 (Cth) and Regulation 2.38(2)(l) of the Superannuation Industry (Supervision) Regulations 1994 (Cth) and is subject to the maintenance and review procedures outlined in the Policy.

Name	Relevant Duties	Relevant Interests
<b>Directors</b>		
Geoffrey Martin Walsh  Independent Non-Executive Director (Chair)	IOOF Group Directorships <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Board (<b>Chair</b>), Audit Committee Member, ARE Remuneration and Nomination Committee)</li> <li>• IOOF Limited (Board (<b>Chair</b>), Audit Committee Member, ARE Remuneration and Nomination Committee)</li> <li>• Oasis Fund Management Limited (Audit Committee Member, Risk &amp; Compliance Committee Member, Claims Review Committee Member, Member of ARE Remuneration &amp; Nominations Committee)</li> <li>• OnePath Custodians Pty Limited</li> </ul>	Receives Director fees for services performed as a director of companies within the IOOF Group.

Name	Relevant Duties	Relevant Interests
	<p>(Audit Committee Member, Risk &amp; Compliance Committee Member, Claims Review Committee Member, Member of ARE Remuneration &amp; Nominations Committee)</p> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• MLI Super Fund Pty Limited</li> <li>• RACGP Oxygen Pty Limited</li> <li>• The Royal Australian College of General Practitioners Limited</li> </ul>	
<p>Alan Chonowitz</p> <p>Independent Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Audit Committee Member, member of Risk &amp; Compliance Committee)</li> <li>• Oasis Fund Management Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Member of Board Claims Review Committee; Member of Board Investment Committee)</li> <li>• OnePath Custodians Pty Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Member of Board Claims Review Committee; Member of Board Investment Committee)</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Stridecorp Equity Partners Pty Limited</li> <li>• Stridecorp Property Partners Pty Limited</li> <li>• Alsumary Pty Limited (Self-Managed Super Fund)</li> <li>• Lions9 Pty Limited</li> </ul>	<p>Interests in IOOF Holdings Limited held via Self-Managed Super Fund.</p> <p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>
<p>Carolyn Colley</p> <p>Independent Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Audit Committee Member, member of Risk &amp; Compliance Committee)</li> <li>• Oasis Fund Management Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Claims Review Committee (<b>Chair</b>), ARE Remuneration and Nominations Committee)</li> <li>• OnePath Custodians Pty Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Claims Review Committee (<b>Chair</b>), ARE Remuneration and Nominations Committee)</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• ASX Clearing Corporation Limited</li> <li>• ASX Clear Pty Limited</li> <li>• ASX Clear (Futures) Pty Limited</li> <li>• ASX Settlement Pty Limited</li> <li>• ASX Settlement Corporation Limited</li> <li>• Austraclear Limited</li> <li>• Cazmar Investment Pty Limited</li> <li>• CountPlus Limited</li> </ul>	<p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>

Name	Relevant Duties	Relevant Interests
	<ul style="list-style-type: none"> <li>• Colley Super Pty Limited</li> <li>• Chartered Accountants Australia and New Zealand</li> <li>• Liverpool Neighborhood Connections (NFP)</li> <li>• Smartgroup Corporation Limited</li> </ul>	
<p>Jane Harvey</p> <p>Independent Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Risk &amp; Compliance Committee Member, Member of Board Investment Committee)</li> <li>• IOOF Limited (Risk &amp; Compliance Committee Member)</li> <li>• OnePath Custodians Pty Limited (Audit Committee <b>(Chair)</b> Risk &amp; Compliance Committee <b>(Chair)</b> Board Investment Committee Member, Alternate Member of Claims Review Committee)</li> <li>• Oasis Fund Management Limited (Audit Committee <b>(Chair)</b>, Risk &amp; Compliance Committee <b>(Chair)</b>, Board Investment Committee, Alternate Member of Claims Review Committee)</li> <li>• ARE Remunerations &amp; Nomination Committee</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Bupa ANZ Healthcare Holdings Pty Limited</li> <li>• Bupa ANZ Insurance Pty Limited</li> <li>• Bupa Foundation (Aust) Limited</li> <li>• Bupa HI Holdings Pty Limited</li> <li>• Marion &amp; EH Flack Nominees Pty Limited</li> <li>• Royal Flying Doctors Service (Vic) Emeritus Council</li> </ul>	<p>Ownership interests in the IOOF Holdings Limited.</p> <p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>
<p>Karen Gibson</p> <p>Independent Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Risk &amp; Compliance Committee <b>(Chair)</b>, ARE Remuneration and Nominations Committee <b>(Chair)</b>, ARE Remuneration Committee <b>(Chair)</b>)</li> <li>• IOOF Limited (Risk &amp; Compliance Committee <b>(Chair)</b>)</li> <li>• OnePath Custodians Pty Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Claims Review Committee, ARE Remuneration and Nominations Committee)</li> <li>• Oasis Fund Management Limited (Member of the Audit Committee; Member of Risk &amp; Compliance Committee; Claims Review Committee, ARE Remuneration and Nominations Committee)</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Praxton Group Pty</li> <li>• Nambawan Superannuation (PNG)</li> </ul>	<p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>
<p>Robert Andrew Bloore</p> <p>Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Holdings Limited (Member of Group Nominations Committee; Group Audit Committee Member; Group Risk &amp; Compliance Committee Member)</li> <li>• IOOF Investment Management Limited (Audit Committee member)</li> </ul>	<p>Ownership interests in the IOOF Holdings Limited.</p> <p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>

Name	Relevant Duties	Relevant Interests
	<ul style="list-style-type: none"> <li>• IOOF Limited (Member of Audit Committee)</li> <li>• OnePath Custodians Pty Limited (Member of Audit Committee; Member of Risk &amp; Compliance Committee)</li> <li>• Oasis Fund Management Limited (Member of Audit Committee; Member of Risk &amp; Compliance Committee)</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Bloore Pty Limited</li> <li>• Gold Cross Products &amp; Services Pty Limited</li> <li>• Guild Group Holdings Limited (Audit Committee Member; Risk and Compliance Committee Member; Capital Committee Member; Digital and Customer Committee, Chair of Rem &amp; Noms Committee)</li> <li>• Guild Insurance Limited</li> <li>• Guild Superannuation Services Limited</li> <li>• Guildlink Pty Limited</li> <li>• Meridian Lawyers Limited</li> <li>• Simonds Family Office Pty Limited</li> <li>• Vertical Farms Pty Limited</li> </ul>	
<p>Lindsay Smartt</p> <p>Independent Non-Executive Director</p>	<p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• IOOF Investment Management Limited (Audit Committee (<b>Chair</b>) and Member of Risk and Compliance Committee)</li> <li>• IOOF Limited (Audit Committee (<b>Chair</b>) and Member Risk and Compliance Committee member)</li> <li>• OnePath Custodians Pty Limited (Board (<b>Chair</b>); Member of Audit Committee; Member of Risk &amp; Compliance Committee; Member of Claims Review Committee)</li> <li>• Oasis Fund Management Limited (Board (<b>Chair</b>); Member of Audit Committee; Member of Risk &amp; Compliance Committee (<b>Chair</b>); Member of Claims Review Committee)</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Tarpeena Superannuation Pty Limited ATF The Smartt Family Superannuation Fund</li> <li>• Tarpeena Consulting Pty Limited</li> <li>• Westpac General Insurance Limited</li> <li>• Westpac Lenders Mortgage Insurance Limited</li> <li>• Westpac Life Insurance Services Limited</li> <li>• The Infants' Home Ashfield</li> <li>• Fidelity Life Assurance Company Limited (NZ)</li> </ul>	<p>Receives Director fees for services performed as a director of companies within the IOOF Group.</p>
<p><b>Internal Responsible Persons</b></p>		

Name	Relevant Duties	Relevant Interests
<p>Brett Marshall</p> <p>Head of the Office of the Superannuation Trustees</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited</p>	<p>Remunerated by IOOF Service Co Pty Limited.</p> <p>Member of Retirement Portfolio Services</p>
<p>David Chalmers</p> <p>Chief Financial Officer</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>IOOF Group Directorships</p> <ul style="list-style-type: none"> <li>• Bridges Financial Services Pty Limited</li> <li>• Consultum Financial Advisers Pty Limited</li> <li>• Financial Services Partners Pty Limited</li> <li>• Lonsdale Financial Group Limited</li> <li>• Millennium 3 Financial Services Pty Limited</li> <li>• MLC Lifetime Company Limited</li> <li>• MLC Wealth Limited MLC</li> <li>• RI Advice Group Pty Limited</li> <li>• Shadforth Financial Group Limited</li> <li>• Wealth Central Pty Limited</li> </ul> <p>Responsible Person for IOOF Investment Management Limited and Oasis Fund Management Limited</p>	<p>Remunerated by IOOF Service Co Pty Limited.</p>
<p>Daniel Farmer</p> <p>Chief Investments Officer</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>IOOF Directorships</p> <ul style="list-style-type: none"> <li>• Global One Alternative Investments Management Pty Limited</li> <li>• IOOF New Zealand Limited</li> </ul> <p>Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited</p>	<p>Ownership interests in the IOOF Holdings Limited.</p> <p>Remunerated by IOOF Service Co Pty Limited</p>
<p>Sharam Hekmat</p> <p>Chief Information Officer</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited</p>	<p>Ownership interests in IOOF Holdings Limited.</p> <p>Remunerated by IOOF Service Co Pty Limited.</p>
<p>Frank Lombardo</p> <p>Chief Operating Officer</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>IOOF Directorships</p> <ul style="list-style-type: none"> <li>• Australian Executor Trustees (Canberra) Pty Limited</li> <li>• Australian Executor Trustees (Sa) Pty Limited</li> <li>• DKN Financial Group Pty Limited</li> <li>• DKN Management Pty Limited</li> <li>• DKN Stakeholders Pty Limited</li> </ul>	<p>Ownership interests in IOOF Holdings Limited.</p> <p>Remunerated by IOOF Service Co Pty Limited.</p> <p>Member of IOOF Portfolio Service Superannuation Fund.</p>

Name	Relevant Duties	Relevant Interests
	<ul style="list-style-type: none"> <li>• DSMJ Pty Limited</li> <li>• Financial Acuity Limited</li> <li>• IOOF Service Co Pty Limited</li> <li>• Managed Portfolio Services Limited</li> <li>• MLC Wealth Holdings Limited</li> <li>• MLC Lifetime Company Limited</li> <li>• Oasis Asset Management Limited</li> <li>• OnePath Administration Pty Limited</li> <li>• Plan B Administration Pty Limited</li> <li>• Plan B Group Holdings Pty Limited</li> <li>• Plan B Trustees Pty Limited</li> <li>• Select Managed Funds Limited</li> </ul> <p>External Directorships</p> <ul style="list-style-type: none"> <li>• Director of Wealth Central Pty Limited</li> <li>• Association of Superannuation Funds of Australia</li> </ul> <p>Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited</p>	
<p>Mark Oliver</p> <p>Chief Distribution Officer</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>IOOF Group Directorships:</p> <ul style="list-style-type: none"> <li>• Ability One (WA/SA) Pty Limited</li> <li>• Austselect Pty Limited</li> <li>• Australian Executor Trustees (Canberra) Pty Limited</li> <li>• Australian Executor Trustees (SA) Pty Limited</li> <li>• DKN Management Pty Limited</li> <li>• DKN Stakeholders Pty Limited*</li> <li>• Financial Acuity Limited</li> <li>• IOOF Insurance Brokers Pty Limited</li> <li>• IOOF Service Co Pty Limited</li> <li>• Managed Portfolio Services Limited</li> <li>• Mercantile Mutual Financial Services Pty Limited</li> <li>• MLC Wealth Holdings Limited</li> <li>• MLC Lifetime Company Limited</li> <li>• Oasis Asset Management Limited</li> <li>• OnePath Administration Pty Limited</li> <li>• Plan B Administration Pty Limited</li> <li>• Plan B Group Holdings Pty Limited</li> <li>• Plan B Superannuation Services Pty Limited</li> <li>• Select Managed Funds Limited</li> <li>• Snowball Capital Pty Limited</li> </ul>	<p>Ownership interests in IOOF Holdings Limited and BLK US Listed Common Stock.</p> <p>Remunerated by IOOF Service Co Pty Limited.</p> <p>Member of IOOF Portfolio Service Superannuation Fund.</p>



Name	Relevant Duties	Relevant Interests
	<ul style="list-style-type: none"> <li>• Tower Austrust Building Pty Limited</li> </ul> <p>*Note: Mark is ex-officio attendee of Thornton Financial Group (SA), in his capacity as a director of DKN Stakeholders Pty Limited.</p> <p>Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited</p>	
<p>Renato Mota</p> <p>Chief Executive Officer, IOOF Holdings Limited</p>	<p>Employee of IOOF Service Co Pty Limited.</p> <p>IOOF Group Directorships:</p> <ul style="list-style-type: none"> <li>• Actuate Alliance Services Pty Limited</li> <li>• Australian Wealth Management Limited</li> <li>• Australian Executor Trustees Limited</li> <li>• AustSelect Pty Limited</li> <li>• Bridges Financial Services Pty Limited</li> <li>• Bridges Financial Services Group Pty Limited</li> <li>• Consultum Financial Advisers Pty Limited</li> <li>• Cortex Advice Solutions Pty Limited</li> <li>• Executive Wealth Management Financial Services Pty Limited</li> <li>• Financial Acuity Limited</li> <li>• Financial Investment Network Group Pty Limited</li> <li>• Financial Partnership Pty Limited</li> <li>• Financial Planning Hotline Pty Limited</li> <li>• Financial Services Partners Holdings Pty Limited</li> <li>• Financial Services Partners Management Pty Limited</li> <li>• Financial Services Partners Pty Limited</li> <li>• FSP Group Pty Limited</li> <li>• Group Investments Nominee Pty Limited</li> <li>• Integrated Networks Pty Limited</li> <li>• IOOF Alliances Pty Limited</li> <li>• IOOF Holdings Limited</li> <li>• IOOF Life Pty Limited</li> <li>• IOOF New Zealand</li> <li>• IOOF Service Co Pty Limited</li> <li>• Lonsdale Financial Group Limited</li> <li>• Managed Portfolio Services Limited</li> <li>• Mercantile Mutual Financial Services Pty Limited</li> <li>• Millennium 3 Financial Services Group Pty Limited</li> <li>• Millennium 3 Financial Services Pty Limited</li> <li>• MLC Wealth Limited</li> <li>• OnePath Administration Pty Limited</li> <li>• Plan B Group Holdings Pty Limited</li> <li>• Plan B Trustees Pty Limited</li> <li>• RI Advice Group Pty Limited</li> </ul>	<p>Ownership interests in IOOF Holdings Limited.</p> <p>Remunerated by IOOF Service Co Pty Limited.</p> <p>Member of IOOF Portfolio Service Superannuation Fund.</p>



Name	Relevant Duties	Relevant Interests
	Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited	
Adrianna Bisogni Group Company Secretary	Employee of IOOF Service Co Pty Limited.  Company Secretary of: <ul style="list-style-type: none"> <li>• Company Secretary of: Ability One (WA/SA) Pty Limited</li> <li>• Australian Executor Trustees (Canberra) Pty Limited</li> <li>• Australian Executor Trustees (SA) Pty Limited</li> <li>• Australian Executor Trustees Limited</li> <li>• Australian Wealth Management Limited</li> <li>• DKN Financial Group Pty Limited</li> <li>• DKN Management Pty Limited</li> <li>• DKN Stakeholders Pty Limited</li> <li>• Executive Wealth Management Financial Services Pty Limited</li> <li>• IOOF Alliances Pty Limited</li> <li>• IOOF Group Pty Limited</li> <li>• IOOF Holdings Limited</li> <li>• IOOF Holdings Trustee Pty Limited</li> <li>• IOOF Investment Management Limited</li> <li>• IOOF Investment Services Limited (Formerly AET Service Limited)</li> <li>• IOOF Life Pty Limited</li> <li>• IOOF Limited</li> <li>• IOOF Service Co Pty Limited</li> <li>• Oasis Fund Management Limited</li> <li>• OnePath Custodians Pty Limited</li> <li>• Lonsdale Finance Choice Pty Limited</li> <li>• Questor Financial Services Pty Limited</li> </ul>	Ownership interests in IOOF Holdings Limited.  Remunerated by IOOF Service Co Pty Limited
Lorna Stewart Chief Risk Officer	Employed by IOOF Service Co Pty Limited  Responsible Person for OnePath Custodians Pty Limited and Oasis Fund Management Limited	Remunerated by IOOF Service Co Pty Limited
Sharyn Cowley Company Secretary	Employee of IOOF Service Co Pty Limited  External Directorships: <ul style="list-style-type: none"> <li>• Pinewood Community Financial Services Limited</li> </ul> Company Secretary of: <ul style="list-style-type: none"> <li>• Pinewood Community Financial Services Limited</li> </ul> Compliance Committee member for RMBL Investments Ltd	Ownership interests in IOOF Holdings Limited.  Remunerated by IOOF Service Co Pty Limited

Name	Relevant Duties	Relevant Interests
<b>Other External Responsible Persons</b>		
Peter Crump Actuary for Small APRA Funds	Director of PIC Super Pty Ltd  Employed as Senior Consultant at BDO Adelaide, being licenced as financial adviser.	Member of AMP administered superannuation fund.  Member of SMSF (PIC Superannuation Fund)
Mark Nelson Actuary	Employed by Mercer  Provides actuarial services to: <ul style="list-style-type: none"> <li>• Mercer Super Trust,</li> <li>• Super Directions Fund (AMP),</li> <li>• MLC Super Fund, Equisuper and the Holden Employees Superannuation Fund</li> </ul>	None disclosed
David Lewis Actuary for MSA (Aust) Pty Limited Superannuation Plan, a sub-plan of IOOF Employer Master Trust	Director and member of Lewis Superannuation Fund (SMSF)  Principal of PFS Consulting  Actuary for: <ul style="list-style-type: none"> <li>• AMP Signature Super</li> <li>• Russell Investments Master Trust</li> <li>• BT Employer Super Master Trust</li> <li>• Retirement Portfolio Service</li> </ul> Provides actuarial advice to Employers that hold Sub- Plans in the Fund. Employed by Davele Consulting Pty Ltd  Responsible Person for OnePath Custodians Pty Limited.	None disclosed
Darren Ball Auditor for Small APRA Funds	A member of the South Australia State Advisory Board of the Association of Superannuation Funds of Australia  Partner of KPMG	None disclosed.
Christopher Wooden RSE Auditor for IIML	Partner of KPMG  RSE Auditor for OnePath Custodians Pty Limited, IOOF Investment Management Limited and Oasis Fund Management Limited	None disclosed.

Entity(s)	Interest or Duty
Australian Executor Trustees Limited (“AET”)	AET is a related party of IIML. AET provides custody services to IIML.
Antares Capital Partners Limited (“ACP”)	ACP is a related party of IIML. ACP is the Responsible Entity of Managed Investment Schemes. The Funds invest in Managed Investment Schemes issued by ACP.
IIML	Trust Deed Duty to comply with the Master Trust Deed.
IIML	Agreements Duty to comply with terms of agreements to which it is a party, including service agreements entered with other parties (including terms requiring the payment of fees and other amounts to those other parties).
IIML	Fees and expenses charged to member accounts as disclosed in Product Disclosure Statements and Significant Event Notices.
IIML	SMF Eligible Rollover Fund The SMF Eligible Rollover Fund is the eligible rollover fund for IOOF Group superannuation plans – Austchoice and IOOF Employer Super.
IOOF Service Co. Pty Limited	IOOF Service Co. Pty Limited is a related party of IIML. IOOF Service Co. Pty Limited provides services and resources to IIML.
IOOF Investment Services Limited (“IISL”)	IISL is a related party of IIML. IISL is the Responsible Entity of Managed Investment Schemes. The Funds invest in Managed Investment Schemes issued by IISL.
IOOF Holdings Limited	The Funds may invest in IOOF Holdings Limited shares.
MLC Investments Limited (“MLC”)	MLC is a related party of IIML. MLC is the Responsible Entity of Managed Investment Schemes. The Funds invest in Managed Investment Schemes issued by MLC.
Related parties	Provision of Credit IIML has lent money to other entities within the IOOF Group.
Related parties	Initial Public Offerings (“IPOs”) Companies in the IOOF Group may receive placement fees for IPOs that are made available to members taken up by its platforms and recommended for approval for addition to the menu by PIC and may issue research reports on IPOs.

Entity(s)	Interest or Duty
Related Party Dealer Groups	The RSE licensee pays service and marketing fees, including adviser service fees, to dealer groups and AFS Licensees that are part of the IOOF Group.