



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

GLENEAGLE ASSET MANAGEMENT LIMITED
AFS Licence Number 226199

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Table with sections: Current Details, Addresses, Trading Name(s), Roles, Licence Authorisation Conditions. Contains company name, licence number, addresses, trading names, and detailed licence conditions.



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Australian Financial Services Licensee

GLENEAGLE ASSET MANAGEMENT LIMITED  
AFS Licence Number 226199

### Licence Authorisation Conditions

- (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
  - (A) derivatives;
  - (B) foreign exchange contracts; and
  - (C) interests in managed investment schemes limited to:
    - (1) own managed investment scheme only; and
- (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
  - (A) deposit and payment products limited to:
    - (1) basic deposit products;
    - (2) deposit products other than basic deposit products;
  - (B) derivatives;
  - (C) foreign exchange contracts;
  - (D) general insurance products;
  - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
  - (F) interests in managed investment schemes including:
    - (1) investor directed portfolio services;
    - (G) securities;
    - (H) standard margin lending facility; and
    - (I) financial products limited to:
      - (1) miscellaneous financial investment products;
- (c) make a market for the following financial products:
  - (i) foreign exchange contracts; and
  - (ii) derivatives;
- (d) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) derivatives; and
    - (B) financial assets; and
- (e) provide the following custodial or depository services:
  - (i) operate custodial or depository services other than investor directed portfolio services;



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to retail and wholesale clients.

From: 06/05/2013

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
    - (i) deposit and payment products limited to:
      - (A) basic deposit products;
      - (B) deposit products other than basic deposit products;
    - (ii) derivatives;
    - (iii) foreign exchange contracts;
    - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (v) interests in managed investment schemes including:
      - (A) investor directed portfolio services;
    - (vi) securities;
    - (vii) standard margin lending facility; and
    - (viii) financial products limited to:
      - (A) miscellaneous financial investment products;
  - (b) deal in a financial product by:
    - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
      - (A) derivatives;
      - (B) foreign exchange contracts; and
      - (C) interests in managed investment schemes limited to:
        - (1) own managed investment scheme only; and
    - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
      - (A) deposit and payment products limited to:
        - (1) basic deposit products;
        - (2) deposit products other than basic deposit products;
      - (B) derivatives;
      - (C) foreign exchange contracts;
      - (D) general insurance products;
      - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (F) interests in managed investment schemes



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including:

- (1) investor directed portfolio services;
- (G) securities;
- (H) standard margin lending facility; and
- (I) financial products limited to:
  - (1) miscellaneous financial investment products;
- (c) make a market for the following financial products:
  - (i) foreign exchange contracts; and
  - (ii) derivatives;
- (d) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) derivatives; and
    - (B) financial assets; and
- (e) provide the following custodial or depository services:
  - (i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients.

From: 30/01/2013

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
    - (a) provide financial product advice for the following classes of financial products:
      - (i) deposit and payment products limited to:
        - (A) basic deposit products;
        - (B) deposit products other than basic deposit products;
      - (ii) derivatives;
      - (iii) foreign exchange contracts;
      - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (v) interests in managed investment schemes including:
        - (A) investor directed portfolio services;
      - (vi) securities;
      - (vii) standard margin lending facility; and
      - (viii) financial products limited to:
        - (A) miscellaneous financial investment products;
    - (b) deal in a financial product by:



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- (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
  - (A) derivatives;
  - (B) foreign exchange contracts; and
  - (C) interests in managed investment schemes limited to:
    - (1) own managed investment scheme only; and
- (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
  - (A) deposit and payment products limited to:
    - (1) basic deposit products;
    - (2) deposit products other than basic deposit products;
  - (B) derivatives;
  - (C) foreign exchange contracts;
  - (D) general insurance products;
  - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
  - (F) interests in managed investment schemes including:
    - (1) investor directed portfolio services;
    - (G) securities;
    - (H) standard margin lending facility; and
    - (I) financial products limited to:
      - (1) miscellaneous financial investment products;
- (c) make a market for the following financial products:
  - (i) foreign exchange contracts; and
  - (ii) derivatives;
- (d) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) derivatives; and
    - (B) financial assets; and
- (e) provide the following custodial or depository services:
  - (i) operate custodial or depository services other than investor directed portfolio services;



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to retail and wholesale clients.

From: 20/05/2011

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
    - (a) provide financial product advice for the following classes of financial products:
      - (i) deposit and payment products limited to:
        - (A) basic deposit products;
        - (ii) derivatives;
        - (iii) foreign exchange contracts;
        - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
        - (v) interests in managed investment schemes excluding investor directed portfolio services;
        - (vi) securities; and
        - (vii) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
          - (A) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
          - (B) that is transferable; and
          - (C) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
      - (b) deal in a financial product by:
        - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
          - (A) derivatives; and
          - (B) interests in managed investment schemes limited to:
            - (1) own managed investment scheme only; and
        - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
          - (A) deposit and payment products limited to:
            - (1) basic deposit products;
            - (B) derivatives;
            - (C) foreign exchange contracts;



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- (D) general insurance products;
- (E) debentures, stocks or bonds issued or proposed to be issued by a government;
- (F) interests in managed investment schemes excluding investor directed portfolio services;
- (G) securities; and
- (H) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
  - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
  - (2) that is transferable; and
  - (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
- (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) derivatives; and
    - (B) financial assets;
  - (d) provide the following custodial or depository services:
    - (i) operate custodial or depository services other than investor directed portfolio services; to retail and wholesale clients.

From: 27/07/2010

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
    - (i) deposit and payment products limited to:
      - (A) basic deposit products;
    - (ii) derivatives;
    - (iii) foreign exchange contracts;
    - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;



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- (v) interests in managed investment schemes excluding investor directed portfolio services;
- (vi) securities; and
- (vii) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
  - (A) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
  - (B) that is transferable; and
  - (C) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
- (b) deal in a financial product by:
  - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
    - (A) derivatives; and
    - (B) interests in managed investment schemes limited to:
      - (1) own managed investment scheme only; and
  - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - (A) deposit and payment products limited to:
      - (1) basic deposit products;
    - (B) derivatives;
    - (C) foreign exchange contracts;
    - (D) general insurance products;
    - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (F) interests in managed investment schemes excluding investor directed portfolio services;
    - (G) securities; and
    - (H) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
      - (1) to which the definition of derivative in subsection 761D(1) applies that is a





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financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and

- (2) that is transferable; and
- (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and

(c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:

- (i) schemes which only hold the following types of property:
  - (A) derivatives; and
  - (B) financial assets;

to retail and wholesale clients.

From: 02/02/2009

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
    - (i) deposit and payment products limited to:
      - (A) basic deposit products;
    - (ii) derivatives;
    - (iii) foreign exchange contracts;
    - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (v) interests in managed investment schemes excluding investor directed portfolio services;
    - (vi) securities; and
    - (vii) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
      - (A) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
      - (B) that is transferable; and
      - (C) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and



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- (b) deal in a financial product by:
  - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
    - (A) derivatives; and
    - (B) interests in managed investment schemes limited to:
      - (1) own managed investment scheme only; and
  - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - (A) deposit and payment products limited to:
      - (1) basic deposit products;
    - (B) derivatives;
    - (C) foreign exchange contracts;
    - (D) general insurance products;
    - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (F) interests in managed investment schemes excluding investor directed portfolio services;
    - (G) securities; and
    - (H) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
      - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
      - (2) that is transferable; and
      - (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
- (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) schemes which only hold the following types of property:
    - (A) derivatives; and
    - (B) financial assets;



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From: 09/03/2007

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
    - (a) provide financial product advice for the following classes of financial products:
      - (i) deposit and payment products limited to:
        - (A) basic deposit products;
        - (ii) derivatives;
        - (iii) foreign exchange contracts;
        - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
        - (v) interests in managed investment schemes excluding investor directed portfolio services;
        - (vi) securities; and
        - (vii) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
          - (A) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
          - (B) that is transferable; and
          - (C) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
      - (b) deal in a financial product by:
        - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
          - (A) derivatives; and
          - (B) interests in managed investment schemes limited to:
            - (1) own managed investment scheme only; and
        - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
          - (A) deposit and payment products limited to:
            - (1) basic deposit products;
            - (B) derivatives;
            - (C) foreign exchange contracts;



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- (D) general insurance products;
  - (E) debentures, stocks or bonds issued or proposed to be issued by a government;
  - (F) interests in managed investment schemes excluding investor directed portfolio services;
  - (G) securities; and
  - (H) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
    - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
    - (2) that is transferable; and
    - (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX; and
  - (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
    - (i) schemes which only hold the following types of property:
      - (A) derivatives;
      - (B) financial assets; and
      - (C) mortgages;
- to retail and wholesale clients.

From: 06/06/2005

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
    - (i) deposit and payment products limited to:
      - (A) basic deposit products;
    - (ii) derivatives;
    - (iii) foreign exchange contracts;
    - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (v) interests in managed investment schemes excluding investor directed portfolio services;
    - (vi) securities; and



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- (vii) financial products limited to:
  - (A) miscellaneous financial investment products limited to managed investment warrants:
    - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764(1)(b)(ii) or 764A(1)(ba)(ii), and
    - (2) that is transferable; and
    - (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX.
  - (b) deal in a financial product by:
    - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
      - (A) derivatives; and
      - (B) interests in managed investment schemes limited to:
        - (1) own managed investment scheme only; and
    - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
      - (A) deposit and payment products limited to:
        - (1) basic deposit products;
      - (B) derivatives;
      - (C) foreign exchange contracts;
      - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (E) interests in managed investment schemes excluding investor directed portfolio services;
      - (F) securities; and
      - (G) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
        - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subsection 764A(1)(b)(ii) or 764A(1)(ba)(ii); and
        - (2) that is transferable; and



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- (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX.
- (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
  - (i) "Pegasus Growth Fund" scheme (ARSN: 110 295 924),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (ii) "AGS Select Long Short Fund" scheme (ARSN: 110 295 853),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (iii) "Tricom Trust" scheme (ARSN: 110 295 817),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (iv) "Elysian Fund" scheme (ARSN: 110 295 871),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (v) "Foresight Growth Fund" scheme (ARSN: 110 295 755),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (vi) "Stella Nova Fund" scheme (ARSN: 110 295 835),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (vii) "Tricom Income Fund" scheme (ARSN: 110 295 880),
    - (A) a scheme which only holds the following types



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of property:

- (1) derivatives; and
  - (2) financial assets;
  - (viii) "Helis Derivatives Fund" scheme (ARSN: 112 983 285)
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
  - (ix) "Tricom Capital Mortgage Fund" scheme (ARSN: 114 419 902),
    - (A) a scheme which only holds the following types of property:
      - (1) mortgages; and
      - (2) financial assets; and
  - (x) "Wildcat Growth Fund" scheme (ARSN: 112 983 105),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
- to retail and wholesale clients.

From: 25/02/2005

- Details:
1. This licence authorises the licensee to carry on a financial services business to:
    - (a) provide financial product advice for the following classes of financial products:
      - (i) deposit and payment products limited to:
        - (A) basic deposit products;
      - (ii) derivatives;
      - (iii) foreign exchange contracts;
      - (iv) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (v) interests in managed investment schemes excluding investor directed portfolio services;
      - (vi) securities; and
      - (vii) financial products limited to:
        - (A) miscellaneous financial investment products limited to managed investment warrants:
          - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subparagraph 764A(1)(b)(ii) or 764A(1)(ba)(ii), and



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- (2) that is transferable; and
- (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX.
- (b) deal in a financial product by:
  - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
    - (A) derivatives; and
    - (B) interests in managed investment schemes limited to:
      - (1) own managed investment scheme only; and
  - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
    - (A) deposit and payment products limited to:
      - (1) basic deposit products;
      - (B) derivatives;
      - (C) foreign exchange contracts;
      - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (E) interests in managed investment schemes excluding investor directed portfolio services;
      - (F) securities; and
      - (G) financial products limited to miscellaneous financial investment products limited to managed investment warrants:
        - (1) to which the definition of derivative in subsection 761D(1) applies that is a financial product of the kind referred to in subsection 764A(1)(b)(ii) or 764A(1)(ba)(ii); and:
        - (2) that is transferable; and
        - (3) that is a warrant as defined in the ASX Operating Rules that has been admitted by the ASX to trading status on a financial market of the ASX.
- (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:





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- (i) "Pegasus Growth Fund" scheme (ARSN: 110 295 924),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (ii) "AGS Select Long Short Fund" scheme (ARSN: 110 295 853),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (iii) "Tricom Trust" scheme (ARSN: 110 295 817),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (iv) "Elysian Fund" scheme (ARSN: 110 295 871),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (v) "Foresight Growth Fund" scheme (ARSN: 110 295 755),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (vi) "Stella Nova Fund" scheme (ARSN: 110 295 835),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (vii) "Tricom Income Fund" scheme (ARSN: 110 295 880),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (viii) "Helis Derivatives Fund" scheme (ARSN: 112 983 285),
  - (A) a scheme which only holds the following types of property:
    - (1) derivatives; and



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- (2) financial assets; and
  - (ix) "Wildcat Growth Fund" scheme (ARSN: 112 983 105),
    - (A) a scheme which only holds the following types of property:
      - (1) derivatives; and
      - (2) financial assets;
- to retail and wholesale clients.

From: 08/09/2004

- Details: 1. This licence authorises the licensee to carry on a financial services business to:
- (a) provide financial product advice for the following classes of financial products:
    - (i) interests in managed investment schemes excluding investor directed portfolio services;
  - (b) deal in a financial product by:
    - (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
      - (A) derivatives; and
      - (B) interests in managed investment schemes limited to:
        - (1) own managed investment scheme only; and
      - (ii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
        - (A) deposit and payment products limited to:
          - (1) basic deposit products;
        - (B) derivatives;
        - (C) foreign exchange contracts;
        - (D) debentures, stocks or bonds issued or proposed to be issued by a government;
        - (E) interests in managed investment schemes excluding investor directed portfolio services; and
        - (F) securities; and
    - (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
      - (i) "Pegasus Growth Fund" scheme (ARSN: 110 295 924),
        - (A) a scheme which only holds the following types



ASIC

Australian Securities & Investments Commission

Australian Financial Services Licensee

GLENEAGLE ASSET MANAGEMENT LIMITED  
AFS Licence Number 226199

#### Licence Authorisation Conditions

- of property:
- (1) derivatives; and
  - (2) financial assets;
- (ii) "AGS Select Long Short Fund" scheme (ARSN: 110 295 853),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (iii) "Tricom Trust" scheme (ARSN: 110 295 817),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (iv) "Elysian Fund" scheme (ARSN: 110 295 871),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (v) "Foresight Growth Fund" scheme (ARSN: 110 295 755),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- (vi) "Stella Nova Fund" scheme (ARSN: 110 295 835),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets; and
- (vii) "Tricom Income Fund" scheme (ARSN: 110 295 880),
- (A) a scheme which only holds the following types of property:
    - (1) derivatives; and
    - (2) financial assets;
- to retail and wholesale clients.

Further information relating to this Licensee may be purchased from ASIC.