



Financial Services Guide

AQR Pty Limited

ABN: 38 116 067 255

AFS Licence: 305 603

Date: 18 February 2022

About this document

This Financial Services Guide ("FSG") is an important document which sets out information about AQR Pty Limited (referred to throughout this FSG as "AQR Australia", "we" or "us"), including:

- who we are and how we can be contacted;
- what types of services and products we are authorised to provide to you;
- how we (and any other relevant parties) are remunerated; and
- details of our internal and external dispute resolution procedures and how you can access them.

This FSG is designed to assist you in deciding whether to use any of our services.

About AQR Australia

Any financial services offered are provided by representatives of AQR Australia.

AQR Australia is a wholly-owned subsidiary of AQR Capital Management, LLC ("AQR US"). AQR US is an investment management firm in the USA employing a disciplined multi-asset, global research process. The firm offers products ranging from traditional long only equity products to multi strategy absolute return products.

AQR Australia's primary activity is providing clients with financial services relating to the marketing and distribution of investment products and services offered by AQR US.

AQR Pty Limited

GPO Box 2604

Sydney, NSW 2000

p: +61.2.8023.6500

f: +61.2.8023.6510

w: aqraustralia.com



How to contact us

AQR Australia can be contacted by:

- calling us on (02) 8023 6500;
- faxing us on (02) 8023 6510;
- writing to us at: Suite 30.3, Level 30, 420 George Street Sydney NSW or GPO Box 2604, Sydney NSW 2001; or
- emailing us at: investorinquiries@aqr.com.

Our financial services and financial products

AQR Australia is authorised to:

(a) provide general financial product advice to **retail clients** for the following classes of financial products:

- derivatives;
- foreign exchange contracts;
- interests in managed investment schemes excluding investor directed portfolio services; and
- securities;

(b) provide financial product advice to **wholesale clients** for the following classes of financial products:

- derivatives;
- foreign exchange contracts;
- debentures, stocks or bonds issued or proposed to be issued by a government;
- interests in managed investment schemes excluding investor directed portfolio services;
- securities;

(c) deal in a financial product to **wholesale clients** by:

- (i) issuing, applying for, acquiring, varying or disposing of a financial product in respect of the following classes of financial products:
 - derivatives;

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- foreign exchange contracts;
- (ii) arranging for another person to issue, apply for, acquire, vary or dispose of a financial product in respect of the following classes of financial products:
 - interests in managed investment schemes excluding investor directed portfolio services; and
 - securities
- (iii) applying for, acquiring, varying or disposing of a financial product on behalf of another person in respect of the following classes of products:
 - deposit and payment products limited to:
 - basic deposit products;
 - deposit products other than basic deposit products;
 - derivatives;
 - foreign exchange contracts;
 - debentures, stocks or bonds issued or proposed to be issued by a government;
 - interests in investment management schemes excluding investor directed portfolio services; and
 - securities

How you can give us instructions

If you need to give AQR Australia instructions, you may do so by communicating with us by telephone, mail, email or fax.

How we are remunerated

AQR Australia receives fees from AQR US for the services which AQR Australia performs for AQR US in Australia.

In general, the amount of fees payable to AQR Australia is at the discretion of AQR US and is subject to a minimum amount.

You may request particulars of the remuneration or other benefits received by AQR Australia, but the request must be made within a reasonable time after you are given this FSG and before any financial service identified in this FSG is provided to you.

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Our employees and directors may receive salaries, bonuses and other benefits from us.

Compensation Arrangements

AQR Australia holds a professional indemnity insurance policy (“Policy”) which satisfies the requirements for compensation arrangements under section 912B of the Corporations Act.

The Policy provides insurance coverage, subject to its terms and conditions, for certain liabilities in connection with the professional services provided by our employees, both whilst they are employed by AQR Australia and after they are no longer employed by AQR Australia (but were so at the time of the relevant conduct).

Complaints

AQR Australia is committed to fair and transparent dealings with all its prospects and clients. If you have a complaint about the service provided to you, you can:

- contact AQR Australia at the contact details set out above; or
- email: AustLegalcompliance@aqr.com.

All complaints will be dealt with in accordance with AQR Australia’s complaints handling procedures, a copy of which can be requested using the contact details as set out above, or accessed via the AQR Australia website.

AQR Australia is a member of the Australian Financial Complaints Authority (“AFCA”). If an issue has not been resolved to your satisfaction, you can lodge a complaint with AFCA. AFCA provides fair and independent financial services complaint resolution services that are free to consumers and can be contacted using the below information:

Website: www.afca.org.au

Email: info@afca.org.au

Telephone: 1800 931 678 (free call)

In writing to: Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001

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