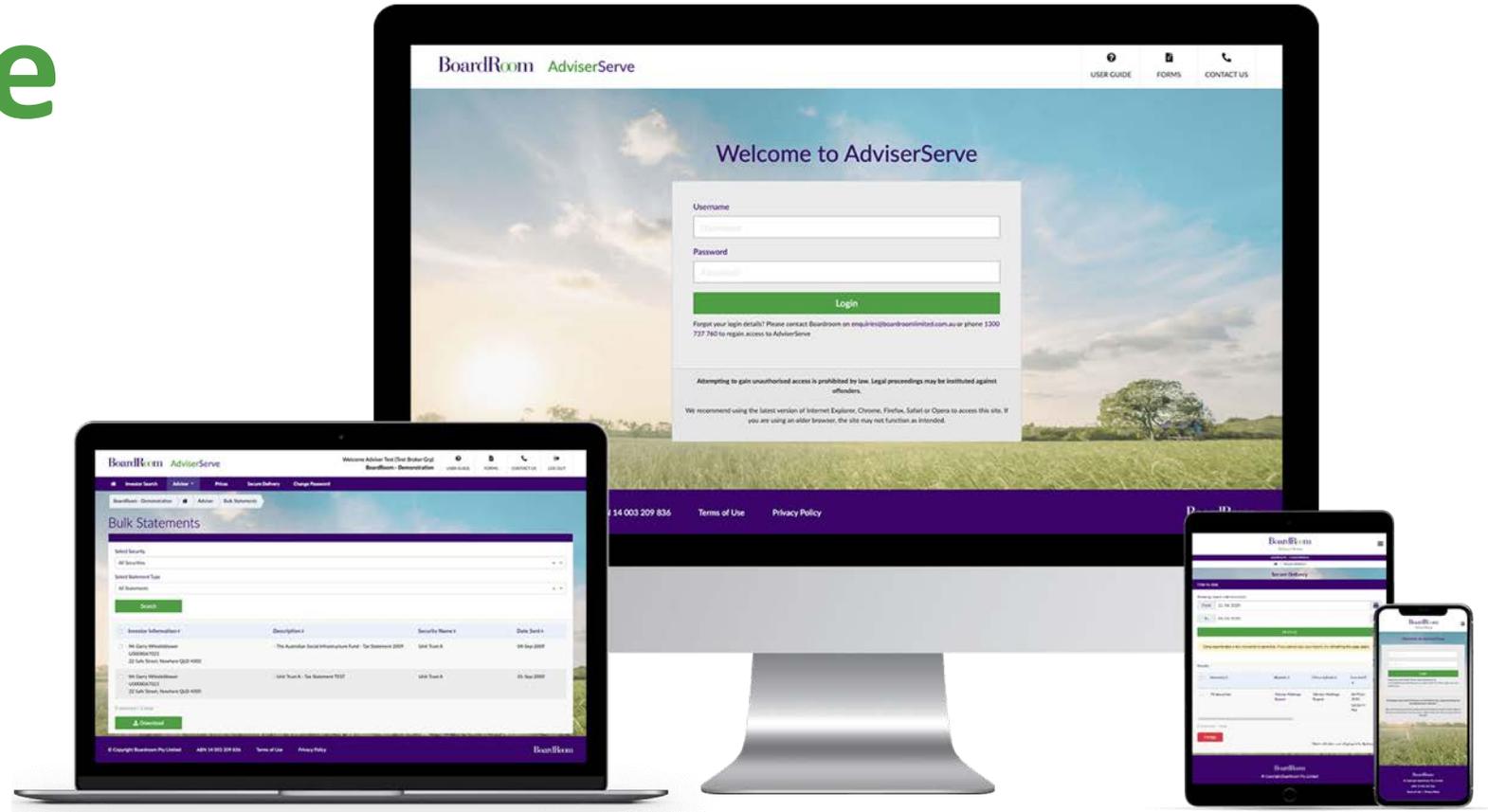


BoardRoom AdviserServe

User Guide



www.adviserserve.com.au

AdviserServe

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

AdviserServe provides advisers and dealer groups the ability to search and access essential information regarding their client's investments, 24/7, anywhere you have an internet connection.

Benefits of using AdviserServe include:

- Quick and easy access to your investor's investment portfolio, transaction history and payment history;
- Real-time reports at your fingertips;
- Ability to download investor's distribution and annual tax statements;
- New bulk statement download facility allows you to download multiple statements of all your investors at the one time;
- View the offer application status of your investors; and
- View Adviser service fees and investment summary.

Accessing AdviserServe

- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

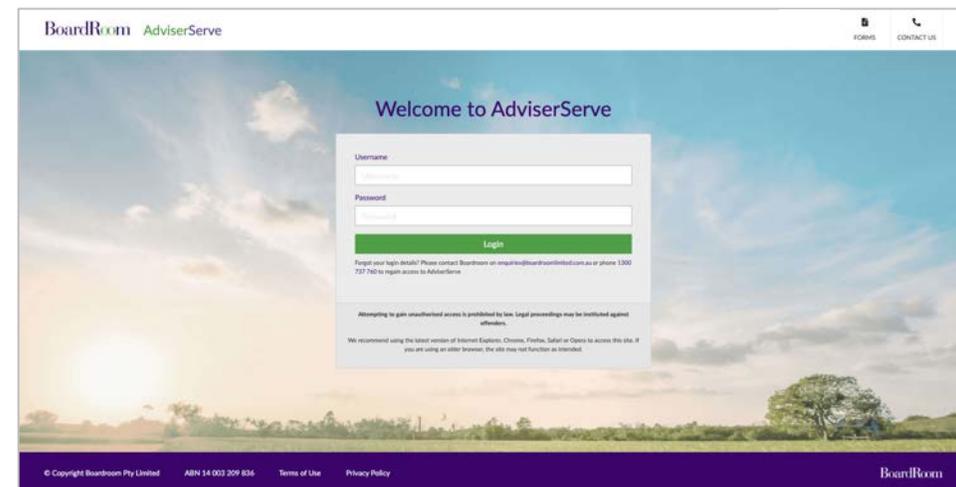
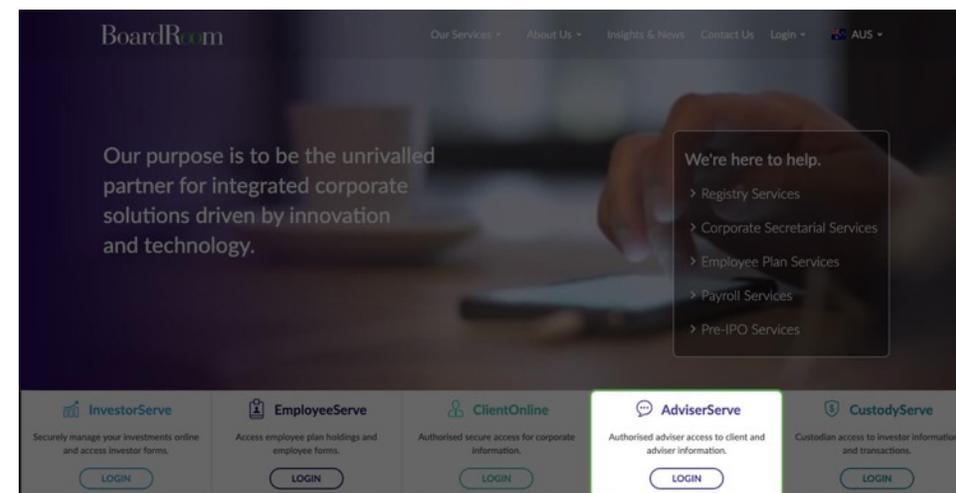
Step 1:

To arrange access to AdviserServe, please contact BoardRoom directly on adviserserveenquiries@boardroomlimited.com.au or phone 1300 737 760. You will be issued with a login ID (username) and temporary password.

Step 2:

Access AdviserServe via www.boardroomlimited.com.au or directly to www.adviserserve.com.au.

Note: If you are currently a registered user please log in to the new AdviserServe with your existing username and password. If you are currently a registered user but have forgotten your username or password, please contact BoardRoom via the contact details mentioned in Step 1.



Accessing AdviserServe

- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

Step 3:

Enter your username and password, then select **“Login”**. At this point you can change your password to something more memorable.

Note: Passwords are case sensitive.

Step 4:

If you are a dealer group and have access to multiple issuers and advisers, select the issuer and adviser you would like to view.

After making your selection, select **“Save Selection”**.

You are now able to use the navigation menu to view details and run reports on selected issuer and adviser(s).

Note: You can change issuers and advisers by selecting the **“Home”** button on the left of the menu bar.

BoardRoom AdviserServe

Welcome (Test Broker Grp)

USER GUIDE FORMS CONTACT US LOG OUT

Select Adviser and Issuer

Test Broker Grp

Adviser

Please select an adviser

Issuer

Please select an issuer

Save Selection

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BoardRoom

Investor Search

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

This tab is specific to your investors.

Step 1:

Click on the “**Investor Search**” tab after selecting the issuer and adviser on the homepage. All your investors will appear on the screen.

You can also select either “**Reference Number**” or “**Keyword**” to conduct a search for specific investor.

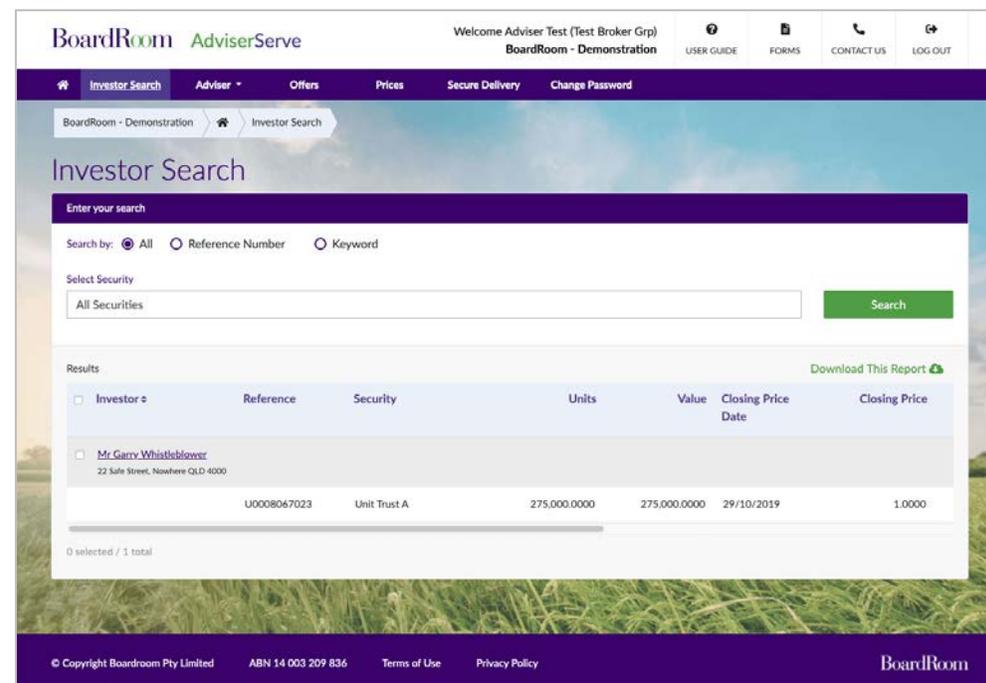
U Unitholder

B Bond Number

N Policy Number

Ensure the prefix letter is in upper-case.

Alternatively, you can enter part of the holding name in the keyword search option.



Investor Search

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

Step 2:

You can select to search for the investor in all securities or a specific security if the search is conducted using the “**Keyword**” option.

Step 3:

The results will display a brief summary of the investor and their holding balances.

Step 4:

You can view further information for each investor by selecting “**Investor Name**”.

Note: You can also download the results into a PDF or Excel file.

BoardRoom AdviserServe

Welcome Adviser Test (Test Broker Grp)
BoardRoom - Demonstration

USER GUIDE FORMS CONTACT US LOG OUT

Investor Search Adviser Prices Secure Delivery Change Password

BoardRoom - Demonstration Investor Search

Investor Search

Enter your search

Search by: All Reference Number Keyword

Enter keyword Select security

Results [Download This Report](#)

Value	Closing Price Date	Closing Price	Adviser Service Fee %	Adviser Service Fee \$	OASF %	OASF \$	Trail %
550,000,000.00	19/03/2020	2.0000	0.20	0.00	0.00	0.00	4.00

0 selected / 1 total

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Investor Search

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

Once an investor is selected, a summary of their details with a navigation menu for further information is displayed.

Investor information is available in the navigation menu, categorised under:

- Summary;
- Details;
- History; and
- Statements & Advices.

Further options under these menus include:

- Investor Summary;
- Holding Balance;
- Tax Status;
- Contact Details;
- Transaction & Payment History; and
- Online Statement/Advices.

The screenshot displays the 'Investor Summary' page for Mr Garry Whistleblower. The page is divided into several sections:

- Investor Details:**
 - Name: MR GARRY WHISTLEBLOWER
 - Address: 22 SAFE STREET, NOWHERE QLD 4000
 - Reference: 100071352617 / U0008067023
 - Email Address: uat@boardroomlimited.com.au
 - TFN/ABN: Not Quoted
 - Banking Details: Not Recorded
- Current Balances:**

Security	Price Date	Price	Balance	Value
Fully Paid Ordinary Shares	01/04/2019	1.09	685,912	747,644.08
Unit Trust A	29/10/2019	1.0000	357,698.0000	357,698.00
- Recent Transactions:**

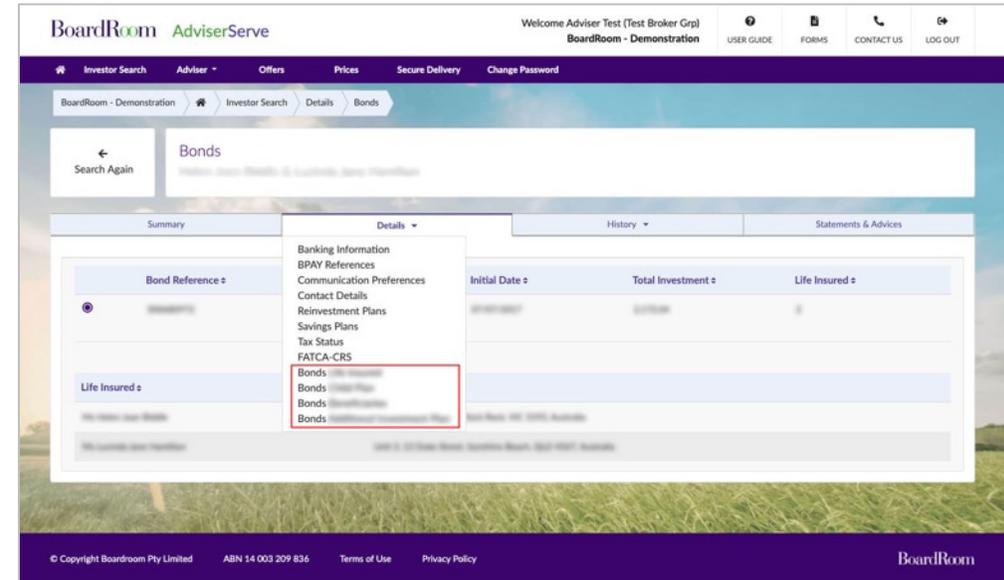
Security	Subregister	Date	Description	Unit Movement
Fully Paid Ordinary Shares	Issuer Sponsored	15/07/2016	Distribution Plan Allotment	2,201
Fully Paid Ordinary Shares	Issuer Sponsored	15/07/2016	Distribution Plan Allotment	-6,605
Fully Paid Ordinary Shares	Issuer Sponsored	15/07/2016	Distribution Plan Allotment	-6,605
Fully Paid Ordinary Shares	Issuer Sponsored	15/07/2016	Distribution Plan Allotment	3,302
Secured Loan Fund	Issuer Sponsored	08/10/2015	Rights Entitlement	220,198.000000
Secured Loan Fund	Unit Trust	08/10/2015	Rights Entitlement	137,500.000000
- Recent Payments:**

Security	Payment Date	Net Amount(AUD)	Payment Description	Payment Method	Status
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Bonds

This section will only be available if your clients hold Bond products.

You can access Bond details by selecting the “**Details**” tab in the navigation menu from the Investor Summary page.



- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

Adviser

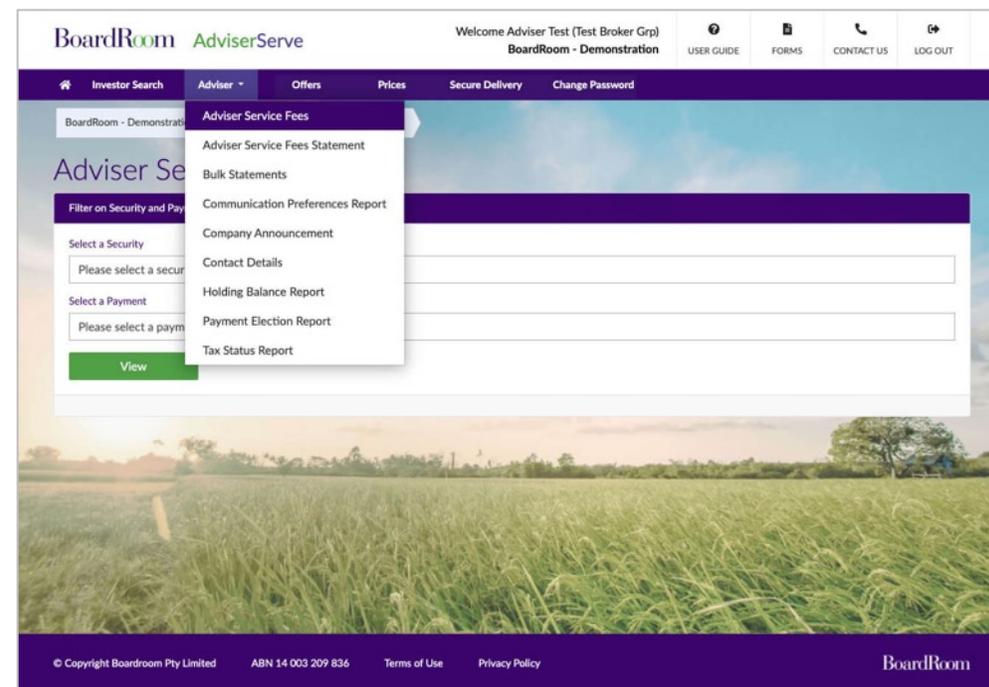
This tab is specific to an adviser or dealer group linked to an investor in unlisted funds or bonds and assigned to the User.

Reporting functions related to advisers include:

- Contact details;
- Service fees;
- Fee statements;
- Bulk statements; and
- Investment summaries.

Note:

- Not all reports have the ability to run for multiple classes
- Not all reports can be exported into both PDF and Excel
- Selected reports can be viewed immediately on-screen without having to visit Secure Delivery



Adviser Reporting

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

Step-by-step instructions and helpful on-screen tips are available to guide you through generating reports.

Further information is available using the help button.

Reports available on AdviserServe include:

- Holding balance report;
- Payment election report;
- TFN status report; and
- Communication preference report.

Selected reports have the ability to run per fund or for multiple funds.

The screenshot displays the BoardRoom AdviserServe interface. At the top, there is a navigation bar with the BoardRoom AdviserServe logo, a user greeting 'Welcome Adviser Test (Test Broker Grp) BoardRoom - Demonstration', and links for 'USER GUIDE', 'FORMS', 'CONTACT US', and 'LOG OUT'. Below this is a secondary navigation bar with 'Investor Search', 'Adviser', 'Offers', 'Prices', 'Secure Delivery', and 'Change Password'. The 'Adviser' dropdown menu is open, showing options: 'Adviser Service Fees', 'Adviser Service Fees Statement', 'Bulk Statements', 'Communication Preferences Report', 'Company Announcement', 'Contact Details', 'Holding Balance Report', 'Payment Election Report', and 'Tax Status Report'. The 'Communication Preferences Report' and 'Holding Balance Report' are highlighted with red boxes. Below the menu is a search bar with 'Enter your search' and 'Search by: All'. A 'Select Security' dropdown is set to 'All Securities'. A 'Search' button is visible. The 'Results' section shows a table with columns: Value, Closing Price Date, Closing Price, Adviser Service Fee %, Adviser Service Fee \$, OASF %, OASF \$, and Trail %. The table contains one row of data: Value: 275,000.0000, Closing Price Date: 29/10/2019, Closing Price: 1.0000, Adviser Service Fee %: 0.20, Adviser Service Fee \$: 0.00, OASF %: 0.00, OASF \$: 0.00, Trail %: 4.00. Below the table, it says '0 selected / 1 total'. A 'Download This Report' link is also present. The footer contains copyright information: '© Copyright Boardroom Pty Limited ABN 14 003 209 836 Terms of Use Privacy Policy' and the BoardRoom logo.

Adviser Reporting

- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

Click “**Adviser**” and select a report you wish to run.
(i.e. Adviser > Holding Balance Report)

Steps for generating reports:

Step 1: Select the fund(s)

Step 2: Select your reporting preference

Step 3: Click “**Generate Report**”. The report will then be available in Secure Delivery (see section about Secure Delivery)

Note:

- Not all reports have the ability to run against multiple funds
- Not all reports can be exported into both PDF and Excel
- Selected reports can be viewed immediately on-screen without having to visit Secure Delivery

The screenshot displays the BoardRoom AdviserServe web application interface. At the top, there is a navigation bar with the BoardRoom AdviserServe logo on the left and user information on the right, including 'Welcome Adviser Test (Test Broker Grp)', 'BoardRoom - Demonstration', and links for 'USER GUIDE', 'FORMS', 'CONTACT US', and 'LOG OUT'. Below the navigation bar is a secondary menu with options: 'Investor Search', 'Adviser', 'Offers', 'Prices', 'Secure Delivery', and 'Change Password'. The main content area shows a breadcrumb trail: 'BoardRoom - Demonstration > Adviser > Holding Balance Report'. The title 'Holding Balance Report' is prominently displayed. Below the title is a 'Report Criteria' section with three steps: 1. 'Select one or more securities' with a dropdown menu labeled 'Select Security'; 2. 'Holding balance (as at) date' with a date input field set to '06/05/2020' and a calendar icon; 3. 'Select your reporting preference' with a checkbox labeled 'Include Nil Holders'. A green 'Generate Report' button is located at the bottom of the form, with a note stating 'Note: Your report will be delivered to Secure Delivery'. The background of the page features a landscape image of a green field under a blue sky. The footer contains copyright information: '© Copyright Boardroom Pty Limited', 'ABN 14 003 209 836', 'Terms of Use', 'Privacy Policy', and the BoardRoom logo.

Offers

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 FAQs

The **Offers** Menu shows all open and closed offers.

You can access the product disclosure statements (PDS) or information memorandums (IM) related to each offer.

If you wish to apply on behalf of an investor, select the apply icon and follow the prompts. A confirmation pop-up will appear and an email sent to confirm your application has been submitted.

You can also access the current status of the application.

For some Fund Managers, the bookbuild information details can be accessed.

BoardRoom AdviserServe

Welcome Adviser Test (Test Broker Grp)
BoardRoom - Demonstration

USER GUIDE FORMS CONTACT US LOG OUT

Investor Search Adviser Offers Prices Secure Delivery Change Password

BoardRoom - Demonstration Offers

Offers

Offer Name	Status	Open/Closed Dates	Actions
Argus Online Application Demonstration	Open	16/12/2019 - N/A	📄 📄 💰 📄
Australian Ethical - Online Application Demo	Open	17/12/2019 - N/A	📄 📄 💰 📄
Boardroom Demo - Online Application Offer	Open	18/11/2019 - N/A	📄 📄 💰 📄
CorVal Demonstration Application	Open	18/11/2019 - 18/11/2020	📄 📄 💰 📄
Cromwell Direct Property Fund - Demonstration	Open	08/11/2019 - N/A	📄 📄 💰 📄
demo for online app	Open	07/07/2015 - N/A	📄 📄 💰 📄
Hastings Online Applications Demonstration	Open	19/12/2016 - N/A	📄 📄 💰 📄
HSBC Demo - Online	Open	11/02/2020 - N/A	📄 📄 💰 📄
IPO Online - Adviser Select	Closed	01/11/2006 - 28/12/2018	📄 📄 💰 📄
IPO Online Offer	Open	10/10/2016 - 26/12/2020	📄 📄 💰 📄

📄 Application Link 📄 PDS 📄 Investor Application Status 💰 Adviser Service Fees 📄 Book Build

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Prices

- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

The tab enables you to:

- View current and historical prices of all funds/bonds; and
- Download the historical prices in Excel format.

The screenshot displays the BoardRoom AdviserServe interface. The top navigation bar includes 'Investor Search', 'Adviser', 'Offers', 'Prices', 'Secure Delivery', and 'Change Password'. The 'Prices' tab is active. Below the navigation, there is a search bar with 'Secured Loan Fund' entered. The page shows a 'Current Price' section with a table and a 'Price List' section with a table. A 'Download This Report' link is visible next to the current price table.

Price Date	Entry Price	Exit Price	NTA/NAV
Oct 6, 2017	1.2345	1.2345	1.2345

Price Date	Entry Price	Exit Price	NTA/NAV
Oct 6, 2017	1.2345	1.2345	1.2345
Jun 4, 2015	1.2345	1.2345	1.2345
May 20, 2004	1.62	1.62	1.62

Total records: 3

Secure Delivery

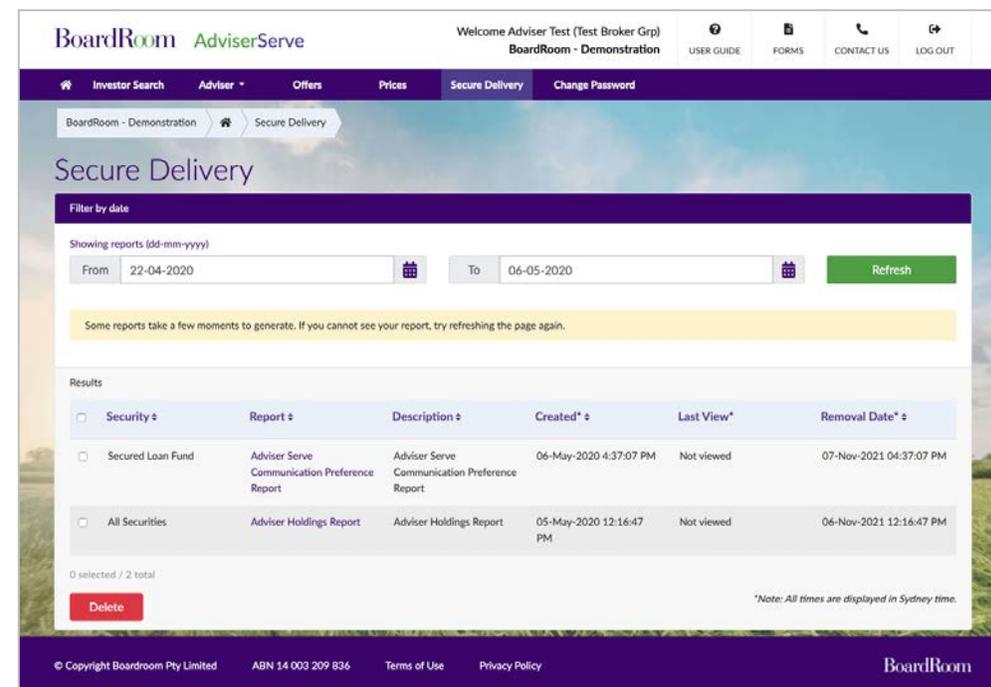
- 1 AdviserServe
- 2 Accessing AdviserServe
- 3 Investor Search
- 4 Bonds
- 5 Adviser
- 6 Adviser Reporting
- 7 Offers
- 8 Prices
- 9 Secure Delivery
- 10 FAQs

Many reports (i.e. Holding Balance Report, Bulk Statements, etc.) are sent to Secure Delivery.

Additionally, BoardRoom may send reports directly to your Secure Delivery. This is a secure portal and the preferred method of sending files between BoardRoom and the Adviser.

To search for a specific report, re-order the list by security name, report name or date created. You can also filter by date range.

Reports can be downloaded multiple times. You can delete reports manually or through automatic removal after 30 days.



FAQs

1 AdviserServe

2 Accessing AdviserServe

3 Investor Search

4 Bonds

5 Adviser

6 Adviser Reporting

7 Offers

8 Prices

9 Secure Delivery

10 **FAQs**

I forgot my password or I've lock myself out.

Contact BoardRoom to reset your password.

Can I make amendments to an Investors details such as phone number or email address?

No, only the investor can make changes online. All other details must come through the registry.

I can't see a particular Fund Manager as an Issuer when I log in.

This means you have not been set-up in the registry system as an adviser for that Fund Manager. Please contact BoardRoom. You'll need to supply: Adviser Name, Adviser Email, Adviser Phone Number, Adviser Code (if known) and Dealer Group.

I can't see one of my client's holdings when I log in.

This means you have not been set-up in the registry system as the adviser for that client. This could be because the original application form did not include those details. Please contact BoardRoom. You'll need to supply: Adviser Name, Adviser Email, Adviser Phone Number, Adviser Code (if known), Dealer Group AND a Signed Appointment of Authorised Representative form completed by the investor.

BoardRoom

AdviserServe

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