

---

# UBT Invest NZ Funds

Annual Report

For the accounting period ending 31 March 2021

19 July 2021

## Table of contents

|                                                                  |   |
|------------------------------------------------------------------|---|
| 1. Details of scheme .....                                       | 3 |
| 2. Information on contributions and scheme participants .....    | 3 |
| 3. Changes relating to the scheme.....                           | 3 |
| 4. Other information for particular types of managed funds ..... | 3 |
| 5. Changes to persons involved in the scheme.....                | 4 |
| 6. How to find further information.....                          | 5 |
| 7. Contact details and complaints .....                          | 6 |

## 1. Details of scheme

- Name: UBT Invest NZ Funds ('scheme')
- Type: Managed Investment Scheme
- Manager: Implemented Investment Solutions Limited ('we', 'us', 'our')
- Supervisor: Public Trust
- Product Disclosure Statement ('PDS'): The latest PDS is dated 13 May 2021. The offer is open for applications.
- Fund Updates: The latest fund update for the Scheme was dated 6 May 2021 and was for the period ended 31 March 2021.
- The financial statements, including the auditor's report, for the UBT Invest NZ Retail Fund (which makes up the scheme) for the year ending 31 March 2021 have been lodged on the Disclose Register.

## 2. Information on contributions and scheme participants

The scheme had one fund during the **accounting period** (the period from 1 April 2020 to 31 March 2021). This fund, and the units on issue, was:

| Fund Name                 | Units on issue at 1 April 2020* | Units on issue at 31 March 2021 |
|---------------------------|---------------------------------|---------------------------------|
| UBT Invest NZ Retail Fund | -                               | 66,003,883                      |

\*The scheme's inception date was 5 June 2020

## 3. Changes relating to the scheme

There have been no material changes to the governing documents or to the terms of the offer of the Scheme.

There were no material changes to the investment objectives and strategy or the management of the scheme over the accounting period.

There were no related party transactions entered into during the accounting period that were not on arm's-length terms.

## 4. Other information for particular types of managed funds

The following table provides the unit prices of the UBT Invest NZ Funds at 31 March 2020 and 31 March 2021:

| Fund                      | Unit prices 31/3/20* |      | Unit prices 31/3/21* |        |
|---------------------------|----------------------|------|----------------------|--------|
|                           | Entry                | Exit | Entry                | Exit   |
| UBT Invest NZ Retail Fund | -                    | -    | 1.0000               | 1.0000 |

\*The scheme's inception date was 5 June 2020

---

## 5. Changes to persons involved in the scheme

### Manager (Implemented Investment Solutions)

Implemented Investment Solutions was the Manager of the scheme throughout the accounting period. Elizabeth Maguire was appointed as a board member in June 2020. There were no other changes to key personnel in the accounting period.

### Supervisor (Public Trust)

Public Trust was the Supervisor of the scheme throughout the accounting period.

Public Trust does not have directors pursuant to the Companies Act 1993 but has Board Members pursuant to the Public Trust Act 2001.

The Board of the Supervisor as at 31 March 2021 comprised:

- Ian Fitzgerald (Chair)
- John Duncan
- Graham Naylor
- Kirsty Campbell
- Vicki Sykes
- Kevin Murphy
- Meleane Burgess

During the Year, the Supervisor had no Board changes.

### Administration Manager (Adminis NZ Limited ('Adminis'))

Adminis was the Administration Manager of the scheme throughout the accounting period.

### Investment Manager (Aura Funds Management Pty Limited ('Aura'))

Aura was the Investment Manager of the scheme throughout the accounting period. Aura was also the distributor of the scheme with responsibility for promoting the scheme and managing client relationships.

### Investment Advisor (UBT Marketing Pty Ltd ('UBT'))

UBT was the Investment Advisor of the scheme throughout the accounting period, with responsibility for defining the scheme's investment mandate and selecting an appropriate investment manager(s) for that mandate. UBT also provides promotion and distribution support to the scheme.

### Securities registrar, custodian, or auditor of the scheme

Adminis NZ Limited was the unit registrar throughout the accounting period.

Public Trust was the custodian of the scheme during the accounting period.

PricewaterhouseCoopers was the auditor of the scheme throughout the accounting period.

## 6. How to find further information

Further information relating to the UBT Invest NZ Funds is available on the offer register and the scheme register at [www.disclose-register.companiesoffice.govt.nz](http://www.disclose-register.companiesoffice.govt.nz) and a copy of information on the offer register or scheme register is available on request to the Registrar of Financial Service Providers.

You can also obtain the following information free of charge:

| Information                      | How to obtain                                                                                                                                                                                                                                     |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Fund information relevant to you | You can inspect documents we hold that are relevant to you, and other documents that are legally required to be provided to you, at our offices during normal business hours, or request an extract of those documents, by written request to us. |
| Fund updates                     | Once available, the fund updates for the funds in the scheme will be publicly available from our website ( <a href="http://www.iisolutions.co.nz">www.iisolutions.co.nz</a> ) and can be requested from us.                                       |

If you invest directly into the scheme, we will send you confirmation information relating to your transactions when Units are issued to you, as well as when you withdraw or transfer your Units and make available to you an annual report in respect of the scheme.

You will also be sent an annual tax statement, which will include the amount of PIE income allocated to you and the amount of tax paid at your chosen PIR. You will also be asked to confirm your IRD number and PIR.

You can find general information about the scheme, our management team, and us on our website.

## 7. Contact details and complaints

### *Contact details*

The Manager can be contacted at:  
Implemented Investment Solutions Limited  
Level 2, Woodward House  
1 Woodward Street  
PO Box 25003  
WELLINGTON 6140

Attention: Anthony Edmonds – Managing Director  
Telephone: (04) 499 9654 or 0800 499 466  
Email: [contact@iisolutions.co.nz](mailto:contact@iisolutions.co.nz)

Please contact Anthony Edmonds with any queries or complaints regarding the scheme.

The Supervisor can be contacted at:

General Manager  
Corporate Trustee Services  
Public Trust  
Private Bag 5902  
Wellington 6140

Telephone: 0800 371 471  
Email: [CTS.Enquiry@PublicTrust.co.nz](mailto:CTS.Enquiry@PublicTrust.co.nz)

Adminis NZ Limited provides fund registry services and can be contacted at:

Level 1  
125 Featherston Street  
PO Box 25555  
Wellington 6140

Telephone: 04 909 7655

### *Complaints*

Any complaints or problems with the investment should be directed to us (using our contact details above) for resolution through our internal dispute resolution process.

If you are not satisfied with the outcome of your complaint to us, you may refer the matter to the Supervisor:

Call: 0800 371 471 during normal business hours  
Write to: General Manager Corporate Trustee Services  
Public Trust  
Private Bag 5902  
Wellington 6140

Public Trust is a member of an approved dispute resolution scheme operated by Financial Services Complaints Limited ('FSCL'). If your complaint to Public Trust has not been resolved, you can refer it to FSCL.

Call: 0800 347 257  
Write to: Financial Services Complaints Limited  
4th Floor, 101 Lambton Quay  
PO Box 5967  
Wellington 6145

FSCL will not charge a fee to any complainant to investigate or resolve a complaint.

If your complaint is not able to be resolved through our internal dispute resolution process or that of the Supervisor you may refer your complaint to the dispute resolution scheme operated by the Insurance and Financial Services Ombudsman, an approved dispute resolution scheme under the Financial Service Providers (Registration and Dispute Resolution) Act 2008. We are a registered financial service provider and member of this scheme. The Insurance and Financial Services Ombudsman's service is provided at no cost to you (the scheme will not charge a fee to any complainant to investigate or resolve a complaint) . The contact details for the dispute resolution scheme is:

Insurance and Financial Services Ombudsman  
Level 8, Shamrock House  
79-81 Molesworth Street  
PO Box 10-845  
WELLINGTON 6143

Telephone: 0800 888 202  
Email: [info@ifso.nz](mailto:info@ifso.nz)