

## MARKETING COMMUNICATION (MC) CHECKLIST

<b>Submitter reference/description of material:</b>	Global Equity Strategy Q3 2019 Update Video
<b>Compliance reference number:</b>	
<b>Submitter:</b>	Michelle Ring
<b>Date Submitted:</b>	08/10/2019
<b>Date Required/Degree of Urgency:</b>	08/10/2019 if possible
<b>Product or Strategy referred to (if any):</b>	Global Equity Strategy

**Yes/No/N/A/Describe**

<b>1. Identifiable/ Target Audience</b>	Marketing material contains the issuing entity's name	Yes
	Material specifies a reference period	Yes
	Product or Strategy is clearly stated at the top of MC	Yes
	Is this clearly identifiable as a marketing item?	Yes
	The material is accurate, up-to-date and relevant	Yes
	Audience type (e.g. general release, existing client only, institutional only, etc)	Existing Clients and General release
	Geographical target audience	All
<b>2. Past Performance</b>	Is there any reference to performance of our strategies?	yes
	The indication of past performance is NOT the most prominent feature of the MC? It should not be	yes
	Is past performance based on complete 12 month periods and for a minimum of the last 5 years (or since inception if history is less than 5 years)?	
	A clear statement of currency in which past performance has been calculated	
	Is the source of all all performance/other numerical info is clearly stated directly below the relevant table, i.e. Source, gross/net, ccy, date, benchmark...?	yes
	Is there any use of backtested data?	
	If Yes, have appropriate disclaimers been included?	
	If for use in US, has "net" performance been used?	
<b>3. Disclaimers</b>	Are all relevant risk, performance & regulatory disclaimers included? See disclaimers master document saved in N:\5 Compliance + Risk\Sales Support-Policies	To be reviewed for video
	Were disclaimers already discussed with Compliance? (if so, with whom?)	yes
	If disclaimers not attached, why?	
	Are disclaimers and similar items clear and easy to read (not obscured and font size legible)?	
<b>4. Understandable</b>	Is the item presented in such a way that it can be understood by the average member of the group to whom it is directed and/or by whom it is likely to be received?	yes
	The information contained in the material does not disguise, diminish or obscure important items, statements or warnings	yes
<b>5. Supporting Documentation</b>	Has all supporting documentation been retained in such a way that it can be retrieved for at least five years?	Yes
	Where external facts/figures have been used, has the source been included?	Yes
	Has the location of all back up data been provided to Compliance?	Yes
<b>6. Consistent</b>	The data used in the MC is consistent with any other marketing material previously produced (e.g.fund fact sheets, slides etc)	Yes
<b>7. General</b>	Was the MC previously submitted to Compliance? If Yes give details	No
	Does the word "fund" appear anywhere in the MC?	No
	Is any stock or security mentioned by name?	No

<b>SUBMITTER SIGN OFF:</b>	Michelle Ring
<b>COMPLIANCE SIGN OFF:</b>	Saoirse Henneberry
<b>COMPLIANCE APPROVAL DATE:</b>	08/10/2019