



**ASIC**

Australian Securities & Investments  
Commission

## Australian financial services licensing

AFS licensee register

Extracted from ASIC's database at AEST 17:43:14 on 27/07/2010

<b>Licence No.</b>	237435
<b>Name</b>	CAPRICORN INVESTMENT PARTNERS LIMITED
<b>ACN</b>	095 998 771
<b>Commenced</b>	09/01/2004

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### Condition start date time 15/10/2009

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) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (iii) life products including:
      - (A) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
      - (B) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
    - (iv) interests in managed investment schemes including:
      - (A) investor directed portfolio services;
    - (v) interests in managed investment schemes limited to:
      - (B) MDA services;
    - (vi) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
    - (vii) securities;
    - (viii) superannuation; and
    - (ix) financial products limited to:
      - (A) miscellaneous financial investment products limited to MDA 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) deposit and payment products limited to:
        - (1) basic deposit products;
        - (2) deposit products other than basic deposit products;
      - (B) debentures, stocks or bonds issued or proposed to be issued by a government;
      - (C) life products including:
        - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
        - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
      - (D) interests in managed investment schemes including:
        - (1) investor directed portfolio services;

- (E) interests in managed investment schemes limited to:
    - (2) MDA services;
  - (F) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
  - (G) securities;
  - (H) superannuation; and
  - (I) financial products limited to:
    - (1) miscellaneous financial investment products limited to MDA services;
  - (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) debentures, stocks or bonds issued or proposed to be issued by a government;
    - (C) life products including:
      - (1) investment life insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds; and
      - (2) life risk insurance products as well as any products issued by a Registered Life Insurance Company that are backed by one or more of its statutory funds;
    - (D) interests in managed investment schemes including:
      - (1) investor directed portfolio services;
    - (E) interests in managed investment schemes limited to:
      - (2) MDA services;
    - (F) retirement savings accounts ("RSA") products (within the meaning of the Retirement Savings Account Act 1997);
    - (G) securities;
    - (H) superannuation; and
    - (I) financial products limited to:
      - (1) miscellaneous financial investment products limited to MDA services; and
  - (iii) underwriting:
    - (A) interests in managed investment schemes; and
    - (B) an issue of securities;
  - (c) operate the following kinds of registered managed investment schemes (including the holding of any incidental property) in its capacity as responsible entity:
    - (i) "Capricorn Diversified Investment Fund" scheme (ARSN: 139 774 646),
      - (A) a scheme which only holds the following types of property:
        - (1) financial assets; and
  - (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.
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