



# Financial Services Guide

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AQR Pty Limited  
ABN: 38 116 067 255  
AFS Licence: 305 603

**Date: 1 November 2018**

## 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. As at 30 September 2018, AQR US had approximately USD226 billion under management globally.

AQR Australia markets the investment capabilities of AQR US in Australia.

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](mailto:investorinquiries@aqr.com).

### AQR Pty Limited

GPO Box 2604  
Sydney, NSW 2000

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f: +61.2.8023.6510

w: [aqraustralia.com](http://aqraustralia.com)



## Our financial services and financial products

AQR Australia is authorised to:

(a) Provide general financial product advice to retail and wholesale clients for the following classes of financial products:

- derivatives;
- foreign exchange contracts;
- interests in managed investment schemes excluding Investor Directed Portfolio Services; and
- securities; and

(b) deal in a financial product by:

arranging for another person to apply for, acquire, vary or dispose of financial products to wholesale clients in respect of the following classes of financial products:

- derivatives;
- foreign exchange contracts;
- interests in managed investment schemes excluding Investor Directed Portfolio Services; and
- securities.

## How you can give us instructions

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

## How we are paid

AQR Australia receives fees from AQR US for marketing the services of AQR US in Australia.

The fees are calculated on a percentage basis. The amount of fees payable to AQR Australia depend on the amount of funds under management for Australian clients and are 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.

Our employees and directors 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).

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## Complaints

AQR Australia is committed to fair and transparent dealings with our 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: [compliance@aqr.com](mailto:compliance@aqr.com)

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 that is free to consumers.

Website: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto: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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