



## CONFLICTS MANAGEMENT

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## 1. BACKGROUND

Tasplan Ltd holds an Australian Financial Services Licence (AFSL) under the provisions of the *Financial Services Reform Act 2001* (FSRA), and is a Registrable Superannuation Entity (RSE) under the provisions of the *Superannuation Safety Amendment Act 2004* (SSAA).

The Australian Prudential Regulation Authority (APRA) provides standards in respect to the development, implementation and monitoring of an appropriate Conflicts Management Policy through APRA Prudential Standard SPS521.

The Australian Securities & Investments Commission (ASIC) provides guidelines in respect to an appropriate Conflicts Management Policy through ASIC Regulatory Guide (RG) 181 – Licensing: Managing Conflicts of Interest.

The Conflicts Management Policy for Tasplan Ltd incorporates the provisions of both SPS521 and RG181.

The Tasplan Conflicts Management Framework comprises this policy and:

- WhistleBlower Policy
- Fit and Proper Policy
- Code of Conduct
- Board Charter
- Committee Charters
  - Audit, Risk and Compliance Committee
  - Administration Committee
  - Investment Committee
  - Remuneration Committee

## 2. APPLICATION

This Policy applies to all employees and Directors of the Trustee.

## 3. PRIORITY TO BENEFICIARIES

Where there is a conflict the Trustee must:

- give priority to the duties to and interests of the beneficiaries over the duties to and interests of other persons; and
- ensure that the duties to the beneficiaries are met despite the Conflict; and
- ensure that the interests of the beneficiaries are not adversely affected by the Conflict; and
- comply with the APRA Prudential Standards in relation to Conflicts (SIS Act sections 52(1), 52(2)(d), 52A(1) and 52A(2)(d)).

#### **4. CONFLICT MANAGEMENT CULTURE**

The Trustee promotes an open and transparent approach to the management of conflicts and works to ensure that awareness of conflicts and conflict management processes is operating from the Trustee Board down to all employees of the Trustee.

#### **5. APRA PRUDENTIAL STANDARD**

The Prudential Standard SPS 521 establishes the requirements for the identification, avoidance and management of conflicts of duty and interest. These requirements are essential to ensure that an RSE licensee and its responsible persons meet legislative obligations in Part 6 of the *Superannuation Industry (Supervision) Act 1993*.

APRA expects that trustees will identify and appropriately manage any conflicts of interest between an individual's trustee duties and the individual's other commercial interests.

APRA will consider whether the person, contrary to the legal, professional or ethical obligation which applies to the person:

- a) failed to disclose a conflict of interest;
- b) failed to disqualify himself or herself because of a conflict of interest;
- c) participated in deliberations relating to a matter in which he or she had a conflict of interest, or
- d) acted in his or her own interests in preference to the interests of the beneficiaries of the superannuation entity.

This Conflicts Management Policy outlines procedures by which actual and potential conflicts can be identified and dealt with. These include:

- e) ongoing identification and registration of personal financial conflicts of interest, such as the shareholdings of individual Trustee Board members, or interests in contracts awarded by the Trustee Board, and
- f) identification of possible and actual conflicts arising from any other offices, functions or interests held by Trustee Board members – such as executive roles in the sponsoring organisation or controlling entity or roles in the organisation which has nominated the board member.

\* Responsible persons are defined in Tasplan's Fit & Proper Policy.

#### **6. ASIC LICENSING**

Effective Trustee Board governance requires the Trustee Board and the activities of the superannuation fund to be free, and be perceived by all interested parties to be free, from circumstances where commercial or personal interests might conflict with the objective of maintaining the utmost commitment to the purpose of the Trust.

Licensees are obliged to have adequate arrangements for the management of conflicts of interest that may arise in relation to the provision of financial services by the licensee, or a representative of the licensee, as part of the financial services business of the

licensee or the representative (the 'conflicts management obligation'). Regulatory Guide 181 applies to services provided to both retail and wholesale clients.

The ASIC policy states that conflicts of interest are circumstances where some or all of the interests of people (clients) to whom a licensee (or its representative) provides financial services are inconsistent with, or diverge from, some or all of the interests of the licensee or its representatives. This includes actual, apparent and potential conflicts of interest.

## **7. TASPLAN COMMITMENT**

Tasplan procedures ensure that the Board becomes aware of, and addresses, conflicts between the interests of its members, its employees and its third party service providers and with their respective commitments (fiduciary, contracted or otherwise) to Tasplan, its entity and purpose.

Tasplan's Constitution Article 14.4(h), Vacation of office of a Director, stipulates that:

"In addition to the circumstances in which the office of a Director becomes vacant by virtue of the Corporations Act, the office of a Director becomes vacant if the person holding that office:

(h) is directly or indirectly interested in any contract or proposed contract with the Company and fails to declare the nature of the interest in the manner required by the Corporations Act;"

"A Director may vote in respect of any contract or proposed contract in which that Director is interested or in respect of any matter arising from such interest provided that the fact and nature of that interest has been disclosed by that Director."

Tasplan is committed to being impartial and fair in dealings with members, employers, service providers, regulators, sponsors and the general public.

Their trust, confidence and support of the Fund goals and objectives are necessary for the wellbeing of the Fund.

All employees must ensure that opportunities do not exist for their interests, or those of people close to them, to conflict with the impartial performance of their duties as either responsible persons or an employee of Tasplan.

The Executive Manager, Governance, Risk and Compliance (EMGRC) is responsible for the oversight of the Conflicts Management Framework and for maintaining the registers of interests and duties.

## 8. DEFINITIONS

Associates of Tasplan	means QT Administration Pty Ltd, Quadrant First Pty Ltd and RBF Direct Pty Ltd
Conflict	a potential or actual conflict between: <ul style="list-style-type: none"><li>• duties owed by Tasplan or a Responsible Person of Tasplan to Members and duties owed to any other person;</li><li>• the interests of members and the duties owed by Tasplan or a Responsible Person of Tasplan to any other person;</li><li>• the interests of Tasplan, an Associate of Tasplan or a Responsible Person or employee of Tasplan and Tasplan's duties to members; or</li><li>• the interests of Tasplan, an Associate of Tasplan or a Responsible Person or employee of Tasplan and the interests of members.</li></ul>
Duty	refers to any duty owed by Tasplan, or a Responsible Person of Tasplan or an employer of Tasplan to members or to any other person
Gift*	is to be given its ordinary meaning of a thing given to someone without payment
Interest	refers to any interest, gift, emolument or benefit, whether pecuniary or non-pecuniary, directly or indirectly held by Tasplan, an Associate of Tasplan, a Responsible Person of Tasplan or an employee of Tasplan
Member	is a reference to members of Tasplan including beneficiaries of members arising from all activities of Tasplan to the extent that they are relevant to or impact on its activities as trustee of the Schemes
Non-pecuniary interest	may include family relationships, friendships, positions in associations, and other interests that do not involve financial gain or loss.
Pecuniary Interest	is an interest that a person has in a matter because of the reasonable likelihood or expectation of appreciable financial gain or loss to the person or another person with whom the person is associated. Associated persons include relatives, partners and employers.
Relevant Duty	a duty that might reasonably be considered to have the potential to have a significant impact on the capacity of Tasplan, an Associate of Tasplan, a Responsible Person of Tasplan or an employee of Tasplan to act in a manner that is consistent with the best interest of members
Relevant Interest	an interest in excess of \$50,000 or 1% of the shares in a listed company or widely held unit trust will be considered one that might reasonably be considered to have the potential to have a significant impact on the capacity of Tasplan, an associate of Tasplan or a Responsible Person to act in a manner that is consistent with the best interest of members.

\* Refer to the Code of Conduct. All gifts exceeding \$300 in value (individually or by aggregate) are recorded on the Gift Register. No Director or employee will give, offer or promise to give, or ask for or accept anything of value to or from an employee or other representative of any potential customer, supplier, or regulatory authority, in exchange for assistance or influence in a transaction.

### 8.1. Determining Relevance

A duty or interest will be determined relevant when deemed by Tasplan as likely to, or having potential to, have significant impact on the capacity of the RSE licensee, the associate of the RSE licensee or the responsible person with the relevant duty or

holding the relevant interest, to act in a manner that is consistent with the best interests of beneficiaries.

The relevance of all declared duties and interest will be determined by the EMGRC. Refer to paragraph 10.2 for the determination assessment process.

## 8.2. Conflicts of Interest

A conflict of interest exists where a:

- a) responsible person or employee has a personal interest that could lead them to be influenced in the way they carry out their Fund duties;
- b) responsible person or employee has a personal interest that could lead a fair person to think that it will influence in the way the Fund operates and how duties are carried out; or
- c) member of a family, relative/friend associate or anybody close to a responsible person or employee has a personal interest that could lead a fair person to think that it will influence in the way the Fund operates and how duties are carried out.

Nothing in this definition precludes obligations of responsible persons and employees to notify of conflicts of interest in pecuniary matters.

Some examples of situations that may give rise to conflicts of interest include:

- a) having the responsibility for hiring a consultant where one of the applicants is a good friend;
- b) supporting proposals from groups of people or individuals with whom one has regular personal contact;
- c) a situation where a responsible person of the RSE licensee is also a director, officer or major shareholder of a service provider, including a related party service provider; and
- d) where the trustee company is a subsidiary of an entity that is also the major service provider to the superannuation entity, and there are material financial or other benefits flowing from the service relationship.

The presence of a non-pecuniary interest need not mean automatic or complete exclusion from participating in discussion and decision making.

Any potential, real or perceived conflict between an individual's interests and those of the Fund must be resolved in favour of the Fund.

## 9. PERCEPTIONS

Not only must responsible persons and employee actions be free of any conflicts of interest, but also they must ensure that they are seen to be free of any conflicts of interest.

It is therefore important that all responsible persons and employees consider what other people might think of the situation. These other people could include, for example,

unsuccessful tenderers, other potential suppliers, other businesses, fellow Directors and staff, members and employers, regulators and members of the public.

## 10. CONFLICT MANAGEMENT PROCESS

### 10.1. Notification procedure

The Trustee has a process in place in respect of the appointment of a Responsible Person and the declaration of any conflicts of duty or interest prior to appointment. This process is detailed in the Trustee's Fit & Proper Policy.

The onus for notification is on the individual to notify a real, perceived or potential conflict of interest.

Responsible persons or employees wishing to discuss a real, perceived or potential conflict of interest should initially contact the Chairman or CEO, who will jointly assess whether a conflict of interest may or will arise.

The CEO may then be instructed to refer the matter for independent legal advice.

Preliminary discussions between the Chairman and the CEO about potential conflicts of interest will be regarded as confidential, provided these discussions do not lead to a notification of a conflict of interest.

A person must notify a conflict of interest by completing the Conflict Notification form (Annexure A) as soon as they are aware one exists and provide the completed form to the Chairman and/or CEO.

Where the Chairman or CEO is the person with the real, perceived or potential conflict of interest the Board will be notified immediately and an appropriate course of action will be determined by the Board at the next Board meeting. Where the matter is viewed by the Board as urgent the Board may either convene a Board meeting or appoint a sub-committee to resolve the conflict.

If a conflict arises during a meeting, such as a Board or committee meeting, the person must immediately inform the meeting of the interest.

### 10.2. Assessment

Assessment of conflict matters will be completed as soon as practicable from receipt of the Notification.

Initial assessment requires:

1. a person to provide all relevant information at the time of assessment (including legal or other advice, if required), and
2. determining if the conflict relates to a 'duty' or an 'interest'.



### 10.2.1. Duty

Tasplan will determine a duty to be a 'relevant' duty where it has, or is likely to have, a significant impact on the capacity of a person to act in a manner consistent with the best interests of beneficiaries if the assessment concludes that:

- a) the duty owed could lead the person to be influenced in the way they carry out their Fund duties;
- b) the duty owed could lead a fair person to think that it will influence in the way the Fund operates and how duties are carried out; or
- c) the duty owed to a family member, relative/friend associate or anybody close to the person could lead to a fair person thinking that it will influence in the way the Fund operates and how duties are carried out.

### 10.2.2. Interest

Tasplan will determine an interest to be a 'relevant' interest where it has, or is likely to have, a significant impact on the capacity of a person to act in a manner consistent with the best interests of beneficiaries if the assessment concludes that:

- a) the interest could lead the person to be influenced in the way they carry out their Fund duties;
- b) the interest could lead a fair person to think that it will influence in the way the Fund operates and how duties are carried out; or
- c) the existence of a family member, relative/friend associate or anybody close to the person has an interest that could lead to a fair person thinking that it will influence in the way the Fund operates and how duties are carried out.

Pecuniary conflicts will immediately prevent the individual involved in considering or discussing the matter in which they have the interest and will not be able to vote on any question relating to the matter.

Any conflicts of interest, which appear to breach the:

- law, will always be referred to the police for investigation and action; and
- SIS Act or Regulations, in respect of a pecuniary interest, will be referred to APRA.

Governance Risk and Compliance will undertake the assessment of the relevance of duties and interests.

## 10.3. Ongoing identification, monitoring and controls

Regular and thorough enquiry is a requirement to identify and monitor all potential and actual conflicts arising from Tasplan's business operations for all employees.

### New business generation

Employees, when providing general advice, must ensure they inform members and potential members (and employers) of their association with Tasplan. This requirement is met by issuing a Financial Services Guide when providing general advice or within five working days of providing the advice.

### Trustee's obligation to members

Directors must ensure that decisions regarding the Fund are made in an efficient, honest and fair manner, and must take the interests of all the Fund's beneficiaries into account. Directors should act independently of their sponsor and focus on the membership when decisions are being made.

### Tendering and purchasing

Responsible persons should not participate in a tendering/purchasing process if they feel they have a conflict of interest. If they are uncertain about whether they have a conflict of interest, they should discuss this with the Chairman and/or CEO.

Where an employee's interest can be identified through any of the criteria in the definition of conflict of interest, that employee will not participate in the tendering/purchasing selection process.

### Staff and recruitment

Directors should not participate in a recruitment process where they, a relative or friend stands to or may gain or lose from it. Directors should immediately notify the nominated officer overseeing the recruitment if they feel they may have a conflict of interest.

Any employee whose interest in a staff position could be identified through any of the other criteria in the definition of conflict of interest, shall immediately notify the nominated officer overseeing the recruitment.

An assessment by the nominated officer of that person's ability to participate in the recruitment will be provided to the CEO prior to any participation of that person in the recruitment process.

### Secondary employment

Staff will require the approval of the CEO prior to undertaking paid work outside of work hours. No approval for paid work outside of work hours will be allowed if it meets any of the criteria in the definition of conflict of interest.

### Remuneration and fees

Fees are disclosed in the Tasplan Product Disclosure Statement and Financial Services Guide. Tasplan does not offer enticements or pay commissions. The Independent Chairman and Directors are remunerated during their term of office. Their remuneration is reviewed annually by the Remuneration Committee and adjusted at 1 July each year.

All employees of Tasplan are paid a salary.

### Board Meetings

The following process applies for each Board Meeting:

1. at the commencement of each Board Meeting, each responsible person present is required to:
  - i. declare any conflicts of interest that may arise from an agenda item of the Meeting, and

- ii. complete the relevant duties and relevant interest register (Annexure B) which requires a person to list potential or actual conflicts of interest that may have occurred since the last Board Meeting and that may arise during the meeting.
2. the Chairman will report to the Board on the status of conflicts as notified.
3. if there are no conflicts declared at a meeting, the Minutes will record a general statement to the effect that there were “Nil” conflicts of interest.
4. where a conflict has arisen since the previous Board meeting or is expected to arise during the conduct of the current meeting, the responsible person(s) is/are required to state the facts to the Board Meeting in progress.
5. once the extent of the conflict is disclosed, the Board is to determine if the person is to avoid any involvement in the matter(s) or, unanimously consent to the person continuing to act.
6. if the Board determines that the person is to avoid any involvement in the matter(s), then the Board must consider and determine the appropriate course of action.
7. the Minutes record the conflict of interest, details, the decision of the Board and the appropriate course of action as determined by the Board.

### Service Providers

Tasplan places reliance on the conflicts management policies and procedures of appointed service providers for ongoing identification and monitoring of conflicts for identified responsible persons of those service providers.

The Trustee has processes for undertaking regular and thorough enquiry to identify all conflicts arising from the Trustee’s relationship, or the relationship of a responsible person or an employee of the Trustee, with an existing or prospective service provider or adviser, including those that have the potential to affect the service provider’s performance in respect of the obligations undertaken for the Trustee.

The Trustee's Outsourcing Policy outlines the due diligence processes to be followed in relation to service providers which includes obtaining information on whether there are any potential conflicts of interest.

Responsible persons are required to disclose all relevant duties and interests prior to being appointed and annually as part of the Fit and Proper declaration requirement. Any changes must be immediately notified to Tasplan in order to maintain an up-to-date register of duties and interests.

### Related Parties

Where the Trustee has invested in or contracted with a related party, it ensures that:

- the investment or contract with that entity is made in the best interests of beneficiaries;
- the interests of beneficiaries is prioritised over that of any other party;
- the contract is made in accordance with the Trustee’s Outsourcing Policy;
- the appointment of the service provider or the investment is made at fair market price and the terms of any agreement are no less favourable to beneficiaries than

would be the case if the services/investments were provided by an arms-length provider;

- the Terms of Agreement with the related party must be based on commercial market standards.
- the interest is to be disclosed in the related party notes in Trustee's Annual Financial Statements; and
- the interest is to be included in the Trustee's Register of Relevant Duties and Interests.

#### 10.4. Treatment

Any potential, real or perceived conflict between an individual and the Fund must be resolved in favour of the Fund. A conflict cannot be managed if the general law requires the person to avoid it.

Treatment must also ensure that the conflict is managed in accordance with the requirements to give priority to the duties to, and interests of, beneficiaries in sections 52(2)(d) and 52A(2)(d) of the *SIS Act*.

When determining the best option to resolve the conflict, the test will be that the option ensures impartiality, fairness and protection of the members' interest.

The following sanctions apply to deal with breaches of the conflicts management policy:

##### Employees

Sanctions for employees will be determined by the CEO. Sanctions will include, but not be limited to:

1. withdrawal from project or issue where a conflict exists.
2. direction to the individual to remove the source of conflict.
3. counselling.
4. suspension with pay.
5. suspension without pay.
6. dismissal (if appropriate).
7. prosecuting any conflicts of interest, which breach the law.

##### Responsible persons

Sanctions for responsible persons will be determined by the Board. Sanctions will include, but not be limited to:

1. limited involvement in the matter (e.g. participation in discussion but not in decision making).
2. no involvement in the matter.
3. avoid the conflict.
4. direction that the person concerned removes the source of conflict.
5. passing a censure motion at a Board meeting.
6. requesting a formal apology.
7. counselling.
8. prosecuting any conflicts of interest, which breach the law.

### 10.5 Conflicts to be avoided

The Trustee has determined the following conflicts to be untenable and should therefore be avoided rather than managed:

- where a Tasplan Director is also a Director of a competitor superannuation fund.
- where a Tasplan Director is also a Director of a material outsourced provider.

### 10.6 Disclosure of duties and interests

All relevant duties and interests of responsible persons will be publically disclosed via the Tasplan website.

## 11. APPEALS ON ACTIONS TAKEN TO RESOLVE CONFLICTS OF INTEREST

### 11.1. Employees

Staff must advise the EMGRC within four days of receiving notification of action taken to resolve a conflict of interest of their intention to appeal this decision. Notification of intention to appeal should be in writing and outline the reasons for the appeal.

The CEO's decision will be final.

### 11.2. Responsible person

A responsible person must advise the Chairman/CEO within four days of receiving notification of action taken to resolve a conflict of interest of their intention to appeal this decision. Notification of intention to appeal should be in writing and outline the reasons for the appeal.

The Chairman/CEO will refer the appeal to the next Board meeting, after an independent assessment has been conducted.

The decision by the Board on the appeal will be final.

## 12. RECORD KEEPING

Records on all conflicts of interest will include the following information:

1. all conflict of interest notifications.
2. failures to disclose.
3. disclosure by others (e.g., colleague or member of the public) about a Fund and/or staff.
4. vexatious claims.
5. assessment of the matter and how it was resolved.
6. any action (e.g. resolutions) taken by the Fund.
7. any appeals on process.

The notification for conflicts of interest will include the following:

1. the person's name, position, contact details and address.
2. the nature of the conflict of interest, real, perceived or potential.
3. date of notification.
4. suggested course of action to deal with conflicts of interest.

Tasplan will keep records, for at least 7 years, of:

1. registers of relevant duties and interests.
2. conflicts of interest identified and action taken.
3. any reports given to Tasplan about conflicts of interest matters.

### **13. TRAINING AND EDUCATION**

Tasplan requires all responsible persons and employees to clearly understand:

- a) the need to identify all potential conflicts;
- b) the circumstances that might give rise to a conflict and the consequences of non-compliance;
- c) the content and purpose of this Policy and the conflict management Framework, and
- d) their obligations, where applicable, as a responsible person of Tasplan.

To ensure the above is understood, Tasplan uses the following provisions:

1. induction sessions for responsible persons and employees on the Fund's Code of Conduct and requirements for managing Conflicts of Interest;
2. reminders to the Board about requirements to disclose conflicts by way of an agenda item at each Board meeting;
3. ongoing education and Fund governance training courses (internal or external), and
4. industry updates e.g. conferences, best practice papers.

### **14. RESPONSIBILITIES**

#### **Board**

1. develop and approve this policy.
2. ensure that appropriate resources are in place for implementation of this policy.
3. monitor and review the ongoing application of this policy and processes on a regular basis, and revise them appropriately.
4. report any potential conflicts that they are aware of in the current Board meeting or to the next scheduled Board meeting.
5. determine the best course of action for conflicts reported.

#### **Chairman & CEO**

1. review the conflicts provided and determine the best course of action prior to the Board having to deal with the matter causing the conflict.
2. refer conflicts to the Board for their review and approval during the meeting it has been raised or at the next scheduled Board meeting.

## Executive Manager Governance Risk and Compliance

1. maintain records and an up-to-date register of relevant duties and interest.

### **15. REVIEW**

This policy and the Conflicts Management Framework shall be reviewed on an annual basis by the Audit and Compliance Committee and results reported to the Board.

### **16. INDEPENDENT REVIEW**

A comprehensive review is required at least every three years by operationally independent, appropriately trained and competent persons to ensure the appropriateness, effectiveness and adequacy of Tasplan's conflicts management framework.

The scope of the comprehensive review of the conflicts management framework will have regard to the size, business mix and complexity of Tasplan's business operations, the extent of any change to those operations and any changes to the external environment in which the Tasplan operates.

At a minimum, the comprehensive review of the conflicts management framework will consider:

- a) whether all relevant duties and all relevant interests have been identified and are being addressed in accordance with Tasplan's conflicts management framework;
- b) the level of compliance with the conflicts management policy, including reporting on the registers of relevant duties and relevant interests, and
- c) any non-compliance with the conflicts management policy, including steps taken to return to, and improve, ongoing compliance.

## ANNEXURE A

### Conflict notification

Name	
Address	
Position	
Contact number(s)	
Details of nature of conflict of interest (real, perceived or potential)	
Signature	
Date of notification	
Conflict treatment	
Actioning Officer signature	
Date	



## ANNEXURE B

### Register of relevant duties and interests

Full name		
Position		
<b>Duties</b>		
Positions held		
Name of corporation	Nature of corporation's activities	Nature of office held
<b>Membership of bodies, associations and trade or professional organisations</b>		
Name of organisation	Address of organisation	
<b>Interests</b>		
Shareholdings / beneficial interests in trusts or nominee corporations / other		
Name of company/trust/other	Nature of activities or details	