



**Item 1: Cover Page**

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**FORM ADV PART 2B: BROCHURE  
SUPPLEMENT  
BRETT LEWTHWAITE**

Macquarie Investment Management  
Global Limited (MIMGL)

50 Martin Place, Sydney 2000

Phone: +61 2 8237 3333  
[www.macquarie.com](http://www.macquarie.com)

Date of Brochure Supplement:  
30 June 2016

This brochure supplement provides information about Brett Lewthwaite that supplements the Macquarie Investment Management Global Limited brochure. You should have received a copy of that brochure. Please contact Kean Lim (Chief Compliance Officer) at +61 2 8237 9784 if you did not receive Macquarie Investment Management Global Limited's brochure or if you have any questions about the contents of this supplement.

**Item 2: Educational Background and Business Experience**

**Year of Birth:** 1973

**Education:** B.Agr.Ec, ASIA

**Business Experience:** Mr. Lewthwaite is Head of Macquarie Asset Management's Fixed Income and Currency (Australia) business and is responsible for Macquarie's Australian based cash, credit, and fixed interest and currency portfolios which amount to nearly \$A45 billion of assets. Brett's primary investment and portfolio management focus is credit markets and he is responsible for the management of credit across all Macquarie's investment solutions. Mr. Lewthwaite has over 20 years of financial market experience, the last 12 of which have been with Macquarie.

**Item 3: Disciplinary Information**

***A. Criminal or Civil Action***

There are no such actions with respect to Mr. Lewthwaite.

***B. Administrative Proceedings before a Regulatory Agency***

There are no such proceedings with respect to Mr. Lewthwaite.

***C. Proceedings before a Self-Regulatory Agency***

There are no such proceedings with respect to Mr. Lewthwaite.

***D. Proceedings to Revoke or Suspend Professional Licence***

There are no such proceedings with respect to Mr. Lewthwaite.

**Item 4: Other Business Activities**

***A. Investment-Related Business***

Mr. Lewthwaite does not engage in any other Investment-Related Business or occupation, nor is registered, or has any application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant, commodity pool operator or commodity trading advisor.

***B. Other Business or Occupation***

Mr. Lewthwaite is not actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, that provides a substantial source of Mr. Lewthwaite's income or involves a substantial amount of his time.

**Item 5: Additional Compensation**

Mr. Lewthwaite's compensation is paid by the Macquarie Group and is composed of an annual base salary plus participation in Macquarie's profit share scheme. Profit share allocations are discretionary and are not based on a sales volume basis.

**Item 6: Supervision**

The Registrant's supervised persons provide investment advisory services within the requirements of Macquarie's Asset Management Policy.

The key terms of the Group-wide policy require that:

- Asset management activity is conducted in accordance with Macquarie's high standards and industry best practice, with reference to community expectations and Macquarie's Goals and Values (the principles that summarize the values to which Macquarie aspires, i.e. Integrity, Client Commitment, Strive for profitability, Fulfillment for our people, Teamwork and Highest standards);
- Funds are managed within an appropriate corporate governance framework to ensure that investment and other key decisions are taken in the best interests of investors consistently with the Fund's mandate and in accordance with regulatory requirements, applicable Occupational Health & Safety requirements and applicable environmental considerations;
- market, credit, liquidity, gearing, operational, legal and regulatory risks arising in relation to Funds are managed and monitored within an appropriate risk management framework;
- conflicts of interest arising between a Fund and its related parties are managed appropriately; and
- Macquarie's asset management businesses should be resourced adequately, with staff that has appropriate expertise, qualifications and skills.

Mr. Lewthwaite's activities are required to be performed in accordance with the Macquarie Asset Management (MAM) Policies and Procedures. Those Policies and Procedures set out the obligations and regulatory requirement to be followed by MAM Staff in their day to day operations.

The Policies and Procedures cover, among other matters, confidentiality, operational risk management, and operational procedures such as accounting, distributions, valuations, communications and transaction management.

The Registrant's Chief Compliance Officer ("CCO") is responsible for overseeing the development and maintenance of the Registrant's compliance program and serves as a liaison with regulatory bodies on compliance issues.

The CCO is responsible for the administration of the Registrant's compliance system and corporate policies; assisting the business in identifying key legal and regulatory requirements affecting it; and helping it to develop and disseminate policies and procedures to address those requirements and to enable compliance with obligations arising from legislation, regulations, offer documents, mandates and industry guidelines.

The Registrant's CCO is Kean Lim and he can be contacted on + 61 2 8237 9784



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**FORM ADV PART 2B: BROCHURE  
SUPPLEMENT  
PATRICK HODGENS**

**Macquarie Investment Management  
Global Limited**

50 Martin Place, Sydney 2000

Phone: +61 2 8237 3333  
[www.macquarie.com](http://www.macquarie.com)

Date of Brochure Supplement:  
30 June 2016

This brochure supplement provides information about Patrick Hodgens that supplements the Macquarie Investment Management Global Limited brochure. You should have received a copy of that brochure. Please contact Kean Lim (Chief Compliance Officer) at +61 2 8237 9784 if you did not receive Macquarie Investment Management Global Limited's brochure or if you have any questions about the contents of this supplement.

**Item 2: Educational Background and Business Experience**

**Year of Birth:** 1964

**Education:** BBUS, F FIN

**Business Experience:** As Head of Macquarie Asset Management's Equities Group, Mr. Hodgens and his team manage a number of active, enhanced and long short Australian equity and global equity portfolios. With over 20 years experience in managing style neutral equity portfolios, Mr. Hodgens has been instrumental in the development of this investment style in the Australian market and then extending it to the overseas markets. In his 25 years at Macquarie, Mr. Hodgens has developed this style to offer a comprehensive range of style neutral equity products across a spectrum of risk/return profiles.

**Item 3: Disciplinary Information**

***A. Criminal or Civil Action***

There are no such actions with respect to Mr. Hodgens.

***B. Administrative Proceedings before a Regulatory Agency***

There are no such proceedings with respect to Mr. Hodgens.

***C. Proceedings before a Self-Regulatory Agency***

There are no such proceedings with respect to Mr. Hodgens.

***D. Proceedings to Revoke or Suspend Professional Licence***

There are no such proceedings with respect to Mr. Hodgens.

**Item 4: Other Business Activities**

***A. Investment-Related Business***

***B. Other Business or Occupation***

Mr. Hodgens is not actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, that provides a substantial source of Mr. Hodgens's income or involves a substantial amount of his time.

**Item 5: Additional Compensation**

Mr. Hodgens's compensation is paid by the Macquarie Group and is composed of an annual base salary plus participation in Macquarie's profit share scheme. Profit share allocations are discretionary and are not based on a sales volume basis.

## Item 6: Supervision

The Registrant's supervised persons provide investment advisory services within the requirements of Macquarie's Asset Management Policy.

The key terms of the Group-wide policy require that:

- Asset management activity is conducted in accordance with Macquarie's high standards and industry best practice, with reference to community expectations and Macquarie's Goals and Values (the principles that summarize the values to which Macquarie aspires, i.e. Integrity, Client Commitment, Strive for profitability, Fulfillment for our people, Teamwork and Highest standards);
- Funds are managed within an appropriate corporate governance framework to ensure that investment and other key decisions are taken in the best interests of investors consistently with the Fund's mandate and in accordance with regulatory requirements, applicable Occupational Health & Safety requirements and applicable environmental considerations;
- market, credit, liquidity, gearing, operational, legal and regulatory risks arising in relation to Funds are managed and monitored within an appropriate risk management framework;
- conflicts of interest arising between a Fund and its related parties are managed appropriately; and
- Macquarie's asset management businesses should be resourced adequately, with staff that has appropriate expertise, qualifications and skills.

Mr. Hodgens's activities are required to be performed in accordance with the Macquarie Asset Management's (MAM) Policies and Procedures. These Policies and Procedures set out the obligations and regulatory requirement to be followed by MAM Staff in their day to day operations.

The Policies and Procedures cover, among other matters, confidentiality, operational risk management, and operational procedures such as accounting, distributions, valuations, communications and transaction management.

The Registrant's Chief Compliance Officer ("CCO") is responsible for overseeing the development and maintenance of the Registrant's compliance program and serves as a liaison with regulatory bodies on compliance issues.

The CCO is responsible for the administration of the Registrant's compliance system and corporate policies; assisting the business in identifying key legal and regulatory requirements affecting it; and helping it to develop and disseminate policies and procedures to address those requirements and to enable compliance with obligations arising from legislation, regulations, offer documents, mandates and industry guidelines.

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**FORM ADV PART 2B: BROCHURE  
SUPPLEMENT  
JONATHON ONG**

Macquarie Investment Management  
Global Limited

50 Martin Place, Sydney 2000

Phone: +61 2 8237 3333  
[www.macquarie.com](http://www.macquarie.com)

Date of Brochure Supplement:  
30 June 2016

This brochure supplement provides information about Jonathon Ong that supplements the Macquarie Investment Management Global Limited brochure. You should have received a copy of that brochure. Please contact Kean Lim (Chief Compliance Officer) at +61 2 8237 9784 if you did not receive Macquarie Investment Management Global Limited's brochure or if you have any questions about the contents of this supplement.

**Item 2: Educational Background and Business Experience**

**Year of Birth:** 1967

**Education:** Bachelor of Science - Melbourne University  
Bachelor of Business (Banking & Finance) – Monash University  
CFA Charterholder – CFA Institute

**Business Experience:** Mr. Ong has over 22 years investment experience in emerging markets, 18 years on the buy side and 4 years on the sell-side. He is a portfolio manager for a number of listed global and regional infrastructure funds that we manage for a range of retail and institutional clients located in various countries around the world.

**Item 3: Disciplinary Information**

***A. Criminal or Civil Action***

There are no such actions with respect to Mr. Ong.

***B. Administrative Proceedings before a Regulatory Agency***

There are no such proceedings with respect to Mr. Ong.

***C. Proceedings before a Self-Regulatory Agency***

There are no such proceedings with respect to Mr. Ong.

***D. Proceedings to Revoke or Suspend Professional License***

There are no such proceedings with respect to Mr. Ong.

**Item 4: Other Business Activities**

***A. Investment-Related Business***

***B. Other Business or Occupation***

Mr. Ong is not actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, that provides a substantial source of Mr. Ong's income or involves a substantial amount of his time.

**Item 5: Additional Compensation**

Mr. Ong's compensation is paid by the Macquarie Group and is composed of an annual base salary plus participation in Macquarie's profit share scheme. Profit share allocations are discretionary and are not based on a sales volume basis.

**Item 6: Supervision**

The Registrant's supervised persons provide investment advisory services within the requirements of Macquarie's Asset Management Policy.



The key terms of the Group-wide policy require that:

- Asset management activity is conducted in accordance with Macquarie's high standards and industry best practice, with reference to community expectations and Macquarie's Goals and Values (the principles that summarize the values to which Macquarie aspires, i.e. Integrity, Client Commitment, Strive for profitability, Fulfillment for our people, Teamwork and Highest standards);
- Funds are managed within an appropriate corporate governance framework to ensure that investment and other key decisions are taken in the best interests of investors consistently with the Fund's mandate and in accordance with regulatory requirements, applicable Occupational Health & Safety requirements and applicable environmental considerations;
- market, credit, liquidity, gearing, operational, legal and regulatory risks arising in relation to Funds are managed and monitored within an appropriate risk management framework;
- conflicts of interest arising between a Fund and its related parties are managed appropriately; and
- Macquarie's asset management businesses should be resourced adequately, with staff that has appropriate expertise, qualifications and skills.

Mr. Ong's activities are required to be performed in accordance with the Macquarie Asset Management's (MAM) Policies and Procedures. These Policies and Procedures set out the obligations and regulatory requirement to be followed by MAM Staff in their day to day operations.

The Policies and Procedures cover, among other matters, confidentiality, operational risk management, and operational procedures such as accounting, distributions, valuations, communications and transaction management.

The Registrant's Chief Compliance Officer ("CCO") is responsible for overseeing the development and maintenance of the Registrant's compliance program and serves as a liaison with regulatory bodies on compliance issues.

The CCO is responsible for the administration of the Registrant's compliance system and corporate policies; assisting the business in identifying key legal and regulatory requirements affecting it; and helping it to develop and disseminate policies and procedures to address those requirements and to enable compliance with obligations arising from legislation, regulations, offer documents, mandates and industry guidelines.

The Registrant's CCO is Kean Lim. He can be contacted on + 61 2 8237 9784.