ASSET REVIEW
GUIDELINES

FOR FINANCIAL ADVISERS ONLY

The purpose of this document is to provide you with information regarding the RL360 asset acceptance criteria.

ALL ASSETS MUST AS A MINIMUM MEET THE FOLLOWING CRITERIA:

- Pricing at least quarterly on Bloomberg
- AUM shown on Bloomberg
- Top ten holdings present on Bloomberg
- Liquidity (from submitting redemption request to receiving proceeds) cannot exceed 5 months
- Currency (EUR, USD, GBP, AUD, CAD, CHF, DKK, HKD, JPY, MYR, NOK, NZD, SEK, SGD, TRY, ZAR and RUB)
- No sanctions in place
- Cash only redemptions
- No client signed IDNs

ADDITIONAL STRUCTURE SPECIFIC CRITERIA

Funds (collective investment schemes)

- No side letter provisions
- No series roll up
- No lock-in periods
- In specie redemptions at the shareholders' discretion
- Borrowing – maximum 100% of the AUM
- Performance fees – must only be reflected in the NAV

- Deals must meet applicable regulatory minimums (no pooling)
- No sophisticated/professional/ experienced/qualified investor structures

Structured notes

- Structured notes are reviewed on a case by case basis – please contact us directly for further information on these type of structures.

Debt securities (bonds, MTNs, Sovereign Debt)

- At least investment grade rated (big three ratings agencies only)
- Regular trading volumes
- Tradeable on a secondary market

Equities/ETFs/closed-ended funds/investment trusts, REITs and overseas equivalents

- Listed on a recognised stock exchange

Cash/structured deposit

- Pricing information must be available online
- No lock-in periods
- A completed RL360 Policyholder Cash Deposit Declaration prior to a deal being placed.

IMPORTANT NOTES

For financial advisers only. Not to be distributed to, nor relied on by retail clients.

Please note all prospective investments are reviewed on a case by case basis, and whilst an asset may be in line with the requirements outlined herein, we reserve full discretion over its acceptability.

If you have any questions regarding the acceptability of a specific asset please forward the corresponding identifier and relevant literature to asset.setup@rl360.com.

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