

## Fund Setup Sheet

for Distributor Head Offices - Investment Fund Operations

### Spartan Fund Management Inc.

FundSERV Management Company Code: **SPA**

*This Fund Setup Sheet provides important information regarding the fund(s) and their attributes required by dealer head offices to complete various internal system setups and commence transaction placement via the FundSERV Network.*

### Fund Codes & Details

Product Inception Date: July 2015

SPA Fund Code	Fund Name	Load Type*	Currency
520	MM Fund Class A	FE	CAD
521	<sup>1</sup> MM Fund Class F	NL	CAD
522	<sup>2</sup> MM Fund Class D	FE	CAD

<sup>1</sup> The **Class F** funds are intended for **Dealer Fee Based Account** Investors only.

<sup>2</sup> The **Class D** funds are intended for **Discount Brokerage** Investors only.

\* **FE** = Front End    **NL** = No Load (also used for Fee Based class funds)

### General

Fundserv Member:	Yes	Bare Trustee Custodial Agreement:	IIROC Signed MFDA Signed
Fundserv myserv Dealer Account Inquiry:	Yes	Trailer Fee:	1.0 % on Class A 0.25 % on Class D Paid Quarterly
Product Type:	Mutual Fund	DSC & LSC Commission:	n/a
Tax Structure:	Trust	Management Fee:	2.00 % on Class A 1.00 % on Class F 1.25 % on Class D
Classification:	North American Equity	Performance Fee:	10% . <b>Hurdle: TSX Total Return Index. High Watermark with no re-sets.</b>
Offering Document Type:	Simplified Prospectus*	Prices via Fundata:	Yes

\* For complete fund details please download an FD (Fund Setup) File from FundSERV, or go to [FundSERV Services Web → Utilities → Fund List](http://www.fundserv.com/customer-centre/fund-profiles) or <http://www.fundserv.com/customer-centre/fund-profiles>.

### Transaction Details

#### Purchases

Pricing Frequency:	Weekly - Fridays	Client Name RSP Offered:	No
Cut-off Time:	4:00pm ET	Minimum Initial Purchase:	\$500
*Custom Cut-off Date:	n/a	Minimum Subsequent Purchase:	\$100
*Custom Price Date:	n/a	Pre-Authorized Chequing (PAC) Plans:	Yes
Settlement Date:	T+2	PAC Minimums:	n/a
Maximum Front End Commission:	5.0 % for Class A	Management Fee Rebates (MFR):	Yes
Provincial Eligibility:	All Provinces & Territories*	Distribution Option:	Re-invest <u>Only</u>
Offshore Investors Eligible:	No	Distribution Frequency:	Annually
US Investors Eligible:	No	Tax Slip Type Issued:	T3
Registered Plan & TFSA Eligibility:	Yes	Subscription Agreement Required:	See Purchase Conditions below

**Purchase Conditions:**

- \*For all purchases in provinces other than Alberta, British Columbia, Ontario, Manitoba, Northwest Territories and Saskatchewan investors must be accredited and are required to sign a Subscription Agreement which the Dealer/Advisor on the date the order is placed will deliver to **Spartan Fund Management** via:
  - Email to [admin@spartanfunds.ca](mailto:admin@spartanfunds.ca), or,
  - Fax to 416-601-5611.

**Original** documents are **not required** by the Manager, and should be **retained by the dealer**

**Redemptions**

<b>Pricing Frequency:</b>	Weekly – each Friday	<b>Settlement Date:</b>	T+2
<b>Cut-off Time:</b>	4:00pm ET	<b>Systematic Withdrawal Plans (SWP):</b>	Yes
<b>*Custom Cut-off Date:</b>	T-1 Business Day	<b>Early Redemption Fees (ERF):</b>	2.0% within 30 days
<b>*Custom Price Date:</b>	n/a	<b>DSC Rate &amp; Duration:</b>	n/a

**Transactions Allowed**

<b>Buy:</b>	Yes	<b>External Transfer:</b>	Yes
<b>Commission Rebate:</b>	n/a	<b>In Cash Transfer (ICT):</b>	n/a
<b>Switch:</b>	Yes (between Classes of the same Fund)	<b>Error Correction (AOT/REV):</b>	n/a
<b>Sell:</b>	Yes	<b>LSIF Rollover:</b>	n/a
<b>Fee:</b>	No	<b>Segregated Fund Reset:</b>	n/a
<b>Internal Transfer:</b>	Yes	<b>Segregated Fund Maturity:</b>	n/a

**Additional Information****Investment Objective**

- The Fund's investment objective is to seek to outperform the broad Canadian equity market as measured by the S&P/TSX Composite Total Return Index over the long term of 5+ years, providing long-term capital appreciation.

**Distributions**

- The Fund does not currently intend to pay regular distributions. Distributions may be made to the extent that the Trustee determines that it would be advantageous for the Fund to make such distributions. It is the Fund's policy to distribute annually to Unitholders sufficient income and capital gains (net of applicable losses) so that it effectively will not pay any Canadian federal income tax under Part I of the Tax Act. The Fund will distribute its annual taxable income and net realized capital gains to Unitholders by December 31 of each year and at such other times as determined by the Trustee. All such distributions of the Fund will be automatically reinvested, without charge, in additional Units at the NAV per Unit at the most recent Valuation Date prior to the distribution date and on the date of each distribution the Units will be automatically consolidated into that number of Units outstanding immediately prior to the distribution. Accordingly, the effect of such distributions will be generally to increase the adjusted cost base of the Units, not the number of Units outstanding.

**Management Fee**

- The Fund pays the Manager an annual management fee, which is accrued weekly (or daily in the event the calculation of NAV changes to daily) and paid monthly, for day-to-day management and administration services. These Management Fees are unique to each Class of Units and are expressed as an annual percentage of the Fund's weekly (or daily in the event the calculation of NAV changes to daily) NAV attributable to the applicable Class of Units. The Management Fee is subject to HST.

**Performance Fee**

- The Fund pays the Manager an incentive fee equal to 10% of the difference, if any, by which the cumulative return of the applicable Class of Units of the Fund exceeds the cumulative return of the TSX Total Return Index, both calculated since an incentive fee was last paid. The incentive fee is subject to applicable taxes, including HST, and is accrued weekly (or daily in the event the calculation of NAV changes to daily) and paid at the end of each calendar quarter.



Contact Information

Fund Company

<b>Company Name:</b>	<b>Spartan Fund Management Inc.</b>	<b>Sales &amp; Marketing Contact:</b>	<b>Brent Channell</b>
<b>Head Office Address:</b>	100 Wellington Street West, Suite 2101, Toronto, ON, M5K 1J3	<b>Phone:</b>	<b>416-601-3172</b>
<b>Website:</b>	<a href="http://www.spartanfunds.ca">www.spartanfunds.ca</a>	<b>Email:</b>	<a href="mailto:bchannell@spartanfunds.ca">bchannell@spartanfunds.ca</a>
<b>Email:</b>	<a href="mailto:admin@spartanfunds.ca">admin@spartanfunds.ca</a>		

Back Office Administrator

<b>Company Name:</b>	<b>SGGG Fund Services Inc.</b>	<b>Phone (Account Inquiry):</b>	<b>416-967-0038 option 1 or 1-888-967-0038</b>
<b>Head Office Address:</b>	121 King Street West, Suite 300, Toronto, ON, M5H 3T9	<b>General Processing Fax:</b>	<b>416-967-1969</b>
<b>Website:</b>	<a href="http://www.sgggFSI.com">www.sgggFSI.com</a>	<b>Dealer Services:</b>	<a href="mailto:AdminServices@sgggFSI.com">AdminServices@sgggFSI.com</a>