

# First Trust Global Portfolios Management Limited

## Summary of Investor Rights

February 2024

### Introduction

This is a summary of rights afforded to you as an investor whose name appears on the share register of First Trust Global Funds plc (the “Fund”) managed by First Trust Global Portfolios Management Limited (the “Company”).

The legal relationship between an investor whose name appears on the share register of the Fund (an “Investor”) and the Fund is a contractual one, governed principally by the relevant application form executed by the Investor when subscribing for shares in a sub-fund of the Fund (a “Sub-Fund”) and the Fund’s constitutional document (the “Constitution”). Investors in the Fund have various rights which derive from:

- the subscription agreement, the Constitution and other relevant documents of the Fund (the “Fund Documents”); and
- applicable legislation governing the operation of the Fund, including but not limited to the Companies Act 2014, the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011, the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) (Undertakings for Collective Investment in Transferable Securities) Regulations 2019, each as amended or replaced from time to time (“Fund Law and Regulation”); and
- other applicable legislation, including but not limited to the Irish Data Protection Acts 1988 to 2018, the General Data Protection Regulation (Regulation (EU) 2016/679) and the EU ePrivacy Directive 2002/58/EC, each as amended or replaced from time to time (“Other Applicable Law and Regulation”).

Such rights may include, but are not limited to, those set out below. The exercise by an Investor of these rights is strictly subject to the terms and conditions of the relevant Fund Documents and/or legislation from which these rights derive. The information set out below is intended as a brief summary of examples of the rights an Investor has in relation to the Fund conferred under the Fund Documents and/or Fund Law and Regulation. Investors may also be afforded rights under Other Applicable Law and Regulation. For more information on the rights of Investors vis-à-vis the Fund, Investors should consult their own legal or financial advisor.

The shares of certain Sub-Funds have been admitted to the official list and to trading on the regulated market of Euronext Dublin (“ETF Sub-Funds”). A purchaser of interests in shares in the ETF Sub-

Funds on the secondary market (“Secondary Market Investor”) will not be a registered shareholder in the Fund (and so have no contractual rights against the Fund), but will hold an indirect beneficial interest in such shares of the ETF Sub-Fund. Legal title to the shares of the ETF Sub-Funds will be held by the Common Depositary’s Nominee. The rights of the Secondary Market Investor, where such person is a participant in an International Central Securities Depository (the “ICSD”), shall be governed by the terms and conditions applicable to the arrangement between such participant and their ICSD and where the Secondary Market Investor is not a participant in the ICSD, shall be governed by their arrangement with their respective nominee, broker or Central Securities Depository (as appropriate) which may be a participant in the ICSD or have an arrangement with a participant in the ICSD. Secondary Market Investors should consult their own legal or financial advisor with regard to any rights they may have vis-à-vis the ICSD or their respective nominee, broker or Central Securities Depository (as appropriate).

### **Entitlement to receive certain information relating to your investment**

A copy of the latest annual and semi-annual financial statements of the Fund will be made available to you on request from the Company and are also available on the website [www.ftgportfolios.com](http://www.ftgportfolios.com).

The latest Net Asset Value (NAV) per share for the Fund is made public at the office of the Fund’s administrator on each dealing day and is published on the business day immediately succeeding each dealing day on the website [www.ftgportfolios.com](http://www.ftgportfolios.com) and [www.bloomberg.com](http://www.bloomberg.com).

A copy of the Fund’s prospectus (the “Prospectus”) is available on the Company’s website. A paper copy is also available on request and free of charge by contacting the Company.

### **Entitlement to redeem your investment**

Investors are entitled to redeem their investment and receive the redemption proceeds relating to their shares within the timeframe and subject to such conditions as detailed in the Prospectus and Constitution. Investors may also be entitled to receive dividend distributions (depending on the characteristics of the share class of the Sub-Fund in which they have invested), within the timeframe and subject to such conditions as detailed in the Prospectus and Constitution.

### **Voting Rights and Related Matters**

Save to the extent that an Investor has chosen to invest in shares which do not carry voting rights, an Investor has the right to vote (whether in general meeting or by way of a written resolution) on

shareholder resolutions relating to the Fund as a whole, relevant Sub-Fund or class thereof in accordance with the conditions set down in the Constitution and the Prospectus.

The Constitution provides that matters may be determined by Investors at a general meeting on a show of hands with each Investor having one vote unless a poll is requested by either five or more Investors or by Investors holding 10% or more of the shares requests a poll.

### **Entitlement to make a complaint**

As an Investor, you are entitled to file a complaint free of charge at the registered office of the Company.

Further information on the Company's complaints procedure is available on request from the Company.

### **Investor rights against the relevant collective investment scheme and its service providers**

As an Investor, you have a right of action against the Fund for any breach of contract.

Investors do not have any direct contractual rights against any service provider appointed in respect of the Fund because of the absence of a direct contractual relationship between Investors and such service provider. Instead, the Fund or the Company, as applicable, has a right of action to pursue a service provider in respect of an alleged wrongdoing committed against the Fund or the Company by the relevant service provider.

An Investor has a regulatory right of action to pursue the Fund's depositary which has been appointed by the Fund in respect of (i) any loss of an asset held in the custody of such depositary or any of its delegates or (ii) of any other losses caused by such depositary's negligent or intentional failure to properly fulfil its obligations under applicable regulations provided that this does not lead to a duplication of redress or to unequal treatment of Investors in the Fund.

### **Representative actions under Irish Law**

Currently under Irish law, there is no formal representative action procedure in place which facilitates collective redress by consumers in respect of infringements of EU or national law. This means that any action brought in an Irish court relating to an infringement of Irish or EU laws governing collective investment schemes and their managers must currently be litigated on an individual basis. While Ireland has enacted legislation allowing for a collective redress mechanism on 11 July 2023, as required under Directive (EU) 2020/1828, the necessary commencement order to effect the operation of this legislation has not yet been passed.