



**Suruhanjaya Sekuriti**  
**Securities Commission**  
**Malaysia**

**THE UTF STATISTICAL AND INVESTMENT RETURNS**  
**REPORTING MANUAL**



## DOCUMENT CONTROL

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Version	Date	Author	Comments
1.0	31/03/2017	SC	
1.03	15/11/2017	SC	Changes to reflect Release Note v1.0.3
3.0.1	28/06/2021	SC	Updated as per tool release v3.0.1
3.0.2	14/03/2022	SC	Changes to Appendix F
3.0.3	27/06/2022	SC	Updated as per tool release v3.0.3
3.0.4	1/10/2024	SC	Updated the definition for "IUTA" under "Fund Movement" tab



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## **PART A: GENERAL**

### **1. INTRODUCTION**

- 1.1 This reporting manual serves as internal guidance to the preparation of unit trust statistical and investment reports.
- 1.2 All reports submitted to SC will be in the form of XBRL instance documents via the SC Common Reporting Platform (ComRep) Submission System.
- 1.3 Unit Trust Management Company (“UTMC”) must not modify the reporting form in any way either by adding or removing rows, columns or worksheets; or changing the sequence of the worksheets; or changing the format, formulae and colors of the cells.
- 1.4 The requirements of the Capital Markets and Services Act 2007 (CMSA), the SC’s guidelines and relevant laws shall prevail in the event of any conflict of inconsistency between the Reporting Manual and the requirements of the CMSA, the SC’s guidelines and relevant laws.



## PART B: REPORTING INFORMATION

### 2. GENERAL INFORMATION

- 2.1 UTMC shall report
- i) UTF Statistical Returns - all funds managed by the company in one single report;
  - ii) UTF Investment(also known as Compliance) Returns - all funds managed by the company in reports grouped by respective Trustee; and
  - iii) UTF Statistical Returns – Foreign - all funds managed by the company in one single report.
- 2.2 All amounts are to be reported in absolute value of Ringgit Malaysia (RM). Amounts other than RM must be translated into its RM equivalents based on the prevailing exchange rates as at the reporting date.
- 2.3 All company registration numbers should be reported without dash, for consistency purpose. e.g.1234567X
- 2.4 IC Number column should be filled without any dash, for consistency purpose. e.g. 800101011234
- 2.5 All field related to 'Currency' must apply the ISO code provided in [Appendix A.1](#) for each fund, if applicable.
- 2.6 All field related to 'Country' must apply the Country name provided in [Appendix A.2](#) for each fund, if applicable.
- 2.7 If there is no information to be completed in any sections/tables, please leave it blank. **Do not fill in N/A or “–”.**



### 3. REPORTING SUMMARY

3.1 Each report is defined by the following codes;

Code	Report Name
FM01.M.UTF	UTF Statistical Returns
FM02.M.UTF	UTF Investment (also known as Compliance) Returns
FM04.M.UTF	UTF Statistical Returns - Foreign
FM16.M.UTF	Compliance Review Report - UTF

3.2 Summary table below is a guide for UTMC to fill the required tables of each report.

Report Name		UTF Statistical Returns	UTF Investment (Compliance) Returns	UTF Statistical Returns - Foreign	Compliance Review Report - UTF
Report Number		1	2	3	20
Tab ID	Tab Description	FM01.M.UTF	FM02.M.UTF	FM04.M.UTF	FM16.M.UTF
000	Scoping Questions	000	000	000	000
010	Declaration	<a href="#">010.01</a>	<a href="#">010.03</a>	<a href="#">010.06</a>	<a href="#">010.20</a>
015	General Information	<a href="#">015.01</a>		<a href="#">015.06</a>	
020	Fund Overview	<a href="#">020.01</a>		<a href="#">020.06</a>	
030	Fund Managed by External FMC	<a href="#">030.01</a>			
040	Number of Account	<a href="#">040.01</a>		<a href="#">040.06</a>	
050	Unit In Circulation	<a href="#">050.01</a>		<a href="#">050.06</a>	
060	Fund Movement	<a href="#">060.01</a>		<a href="#">060.06</a>	
065	Fund Movement by Transaction Type	<a href="#">065.01</a>			
070	Fund Contribution through EPF	<a href="#">070.01</a>			
080	Fund Distribution	<a href="#">080.01</a>			
090	Use of Brokers/Dealers		<a href="#">090.03</a>		
100	Financial	<a href="#">100.01</a>		<a href="#">100.06</a>	
110	Financial – Others	<a href="#">110.01</a>		<a href="#">110.06</a>	
120	Financial – Borrowings	<a href="#">120.01</a>			
130	Trustee Information		<a href="#">130.03</a>		
140	Total Investment		<a href="#">140.03</a>		
150	Investment – Deposits		<a href="#">150.03</a>		
160	Investment – Equities		<a href="#">160.03</a>		
170	Investment - Fixed Income Securities		<a href="#">170.03</a>		
180	Investment – Derivatives		<a href="#">180.03</a>		
190	Investment - Collective Investment Scheme		<a href="#">190.03</a>		
200	Investment - Structured Products		<a href="#">200.03</a>		
210	Investment – Others		<a href="#">210.03</a>		
240	Investment			<a href="#">240.06</a>	
260	Profile of Unit Holder	<a href="#">260.01</a>			
940	Compliance Review Report - UTF				<a href="#">940.20</a>



### 3.3 FM01.M.UTF comprises the following tables;

#### 010.01 - [01000] Declaration

Item	Definition
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Unit Trust Management Company Name	The company name of UTMC as per registered with SSM
Unit Trust Management Company Registration Number	The company registration number of UTMC as per registered with SSM
Total Number Of Accounts	This item must be reported equivalent to the total number of accounts as reported in <a href="#">040.01 – [04000] Number of Accounts</a>
Total Units In Circulation	This item must be reported equivalent to the total units in circulation as reported in <a href="#">020.01 – [02000] Fund Overview</a>
Total Sales Volume (unit)	This item must be reported equivalent to the total sales volume for all distribution channels as reported in <a href="#">060.01 – [06000] Fund Movement</a>
Total Repurchases Volume (unit)	This item must be reported equivalent to the total repurchases volume for all distribution channels as reported in <a href="#">060.01 – [06000] Fund Movement</a>
Total Manager Box (unit)	This item must be reported equivalent to the total unit of the following items as reported in <a href="#">050.01 – [05000] Unit in Circulation</a> <ul style="list-style-type: none"> <li>i) Manager's Box – EPF;</li> <li>ii) Manager's Box - Matched Sales; and</li> <li>iii) Manager's Box - Units held by manager</li> </ul>
Total Net Asset Value (RM)	This item must be reported equivalent to the total net asset value as reported in <a href="#">020.01 – [02000] Fund Overview</a>
Signatory of Compliance Officer	This section must be filled with Compliance Officer contact information
Signatory of CEO or person authorized by the CEO	This section must be filled with information of CEO or person authorized by the CEO

**015.01 - [01050] General Information**

- a) This sheet is required to be filled as and when audited financial account is issued e.g. if the audited financial account of the fund is issued in 30/06/2017, this sheet must be filled in the reporting month of June.

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Auditor Name	Please provide the appointed auditor's name of each fund
Audit Firm No.	Please provide the audit firm number (AF Number) for each auditor
Signing Partner of Last Audited Account	The signing partner name of the last audited account
Audit Opinion of Last Audited Account	The overall audit opinion on the last audited account - refer <a href="#">Appendix E.5</a>
Financial Year End (dd/mm/yyyy)	The financial year end date of the fund e.g. 31/12/2017

**1000.01 - [01060] Fund Information**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Close/Open Ended Fund <dropdown>	Please choose either 'Close-ended' or 'Open-ended' option
Fund Principle <dropdown>	Please choose either 'Conventional' or 'Shariah' option
Start Date of Close Ended Period (dd/mm/yyyy)	Please provide start date of close ended period
Maturity Date (dd/mm/yyyy)	Please provide maturity date of close ended fund



***020.01 - [02000] Fund Overview***

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency in which the units on offer are denominated in, based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the Fund Class and Currency Class is being, or intend to be, offered. For example, if ABC-Fund B-USD can be offered in Malaysia and in Singapore, then the UTMC must submit an entry for Malaysia and another entry from Singapore (regardless if the offering in Singapore is exclusively permitted under the restricted schemes regime in Singapore). For the list of Country name – refer <a href="#">Appendix A.2</a>
Units In Circulation	Refers to units created and fully paid for the fund or each of the class, where applicable. The total of this item must be reported equivalent to the total unit in circulation for all distribution channels as reported in <a href="#">050.01 – [05000] Unit in Circulation</a>
Net Asset Value (RM)	Please provide the total value of all the assets less the value of all the liabilities for the fund or each of the class, where applicable, as at last calendar day of the reporting month



***030.01 - [03000] Fund Managed by External Fund Management Company***

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Designated FMC Registration Number	The designated FMC company registration number as per registered with SSM or authorized body for company registration in respective country, if any
FMC Name	The Fund Management Company name as per registered with SSM or authorized body for company registration in respective country
Country of Incorporation <dropdown>	Please choose the country where the external fund management company is incorporated at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Date of Appointment (dd/mm/yyyy)	Please provide the appointment date of the FMC as external FMC of the fund
Portfolio - Net Asset Value (RM)	Please provide the net asset value of the portfolio managed by the FMC as at last calendar day of the reporting month



**040.01 - [04000] Number of Accounts**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Country of Offer <dropdown>	Please choose the country where the fund is being or intending to be offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Retail	Refers to individual
Institution	Refers to institutional funds and corporate investors
Direct - Related-parties	Refers to number of account that is distributed by UTMC's related parties
Direct - Non-Related-parties	Refers to number of account that is distributed by UTMC's non-related-parties
IUTA – Bank; IUTA – UTMC; IUTA - Stock Broking Company; and IUTA – Others	Refers to number of account that is opened through by IUTA members
CUTA	Refers to number of account that is opened through CUTA
Others	Refers to number of account that is opened through other channels besides above mentioned
Manager's Box	Refers to number of account belonging to management company or its related corporation for a fund that it manages. Please fill in “1” for funds with manager's box. Otherwise, please leave this blank.



**050.01 - [05000] Units in Circulation**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the Fund Class and Currency Class is being, or intend to be, offered. For example, if ABC-Fund B-USD can be offered in Malaysia and in Singapore, then the UTMC must submit an entry for Malaysia and another entry from Singapore (regardless if the offering in Singapore is exclusively permitted under the restricted schemes regime in Singapore). For the list of Country name – refer <a href="#">Appendix A.2</a>
Retail	Refers to individual
Institution	Refers institutional funds and corporate investors
Direct - Related-parties	Refers to units in circulation that is distributed by UTMC's related-parties
Direct - Non-Related-parties	Refers to units in circulation that is distributed by UTMC's non-related-parties
IUTA – Bank; IUTA – UTMC; IUTA - Stock Broking Company; and IUTA – Others	Refers to units in circulation that is distributed by IUTA members
CUTA	Refers to units in circulation that is distributed by CUTA
Others	Refers to units in circulation that is distributed by other channels besides above mentioned
Manager's Box - EPF	Please provide number of units in the fund when complying with repurchase requests and/or in creating new units to meet anticipated requests for units by EPF
Manager's Box - Matched Sales	Please provide number of units created to meet confirmed requests for units



Manager's Box - Units held by manager	Please provide number of units in the fund when complying with repurchase requests and/or in creating new units to meet anticipated requests for units by investor held by manager
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### 60.01 - [06000] Fund Movement

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Method of Registration	Please choose the method of registration whether the sales or repurchases transaction is registered through 'Online' or 'Offline' channel e.g. Online –through tablet/pc/machines Offline – through physical forms
Sales	Refers to sales transactions
Repurchases	Refers to repurchases transactions
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for the reporting month
Volume (unit)	Refers to the total unit transacted for the reporting month
Direct	Refers to sales and repurchases transactions that are conducted directly by the UTMC
UTC	Refers to sales and repurchases transactions that are conducted through Unit trust consultant who is duly registered with the FIMM to market and distribute unit trust scheme
IUTA – Bank; IUTA – UTMC; IUTA - Stock Broking Company; and IUTA – Others	Refers to sales and repurchases transaction that is conducted through IUTA members. Where the units of a fund may be transacted on the IUTA's online platform, the sales and repurchases transaction data must be differentiated by the Method of Registration i.e. the amount by which the end-investors subscribed, or redeemed, the units of the fund via the IUTA's online platform must be reported separately from transactions conducted offline.
CUTA	Refers to sales and repurchases transaction that is conducted through CUTA



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Others	Refers to sales and repurchases transactions that is conducted through other channels besides above mentioned
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**65.01 - [06100] Fund Movement by Transaction Type**

- a) The fund movement by transaction type should exclude the EPF portion as the EPF portion shall be reported under the table [07000] Fund Contribution through Employee Provident Fund (EPF) of the return
- b) Total of all sales value and volume from the table [06000] Fund Movement must be equivalent to the total sales value and volume excluding reinvestment in:
  - i) [06100] Fund Movement by Transaction Type; and
  - ii) [07000] Fund Contribution through Employee Provident Fund (EPF)
- c) Total of all repurchases value & volume from the table [06000] Fund Movement must be equivalent to the total repurchases value & volume in;
  - i) [06100] Fund Movement by Transaction Type; and

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Sales	Refers to sales transactions
Repurchases	Refers to repurchases transactions
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for the reporting month
Volume (unit)	Refers to the total unit transacted for the reporting month
New Investment	Refers to investment from a new/existing investor who injected fresh money into the fund
Reinvestment	Refers to reinvestment from income distribution of existing investor of the fund
Switching in	Refers to switch of funds by investor from Fund A into Fund B within the same UTMC. This item is reported by Fund B as the receiving end.
Cash	Refers to transaction transacted in cash term



Switching Out	Refers to switch of funds by investor from Fund A into Fund B within the same UTMC. This item is reported by Fund A as the disposing end
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ii) [07000] Fund Contribution through Employee Provident Fund (EPF)



**070.01 - [07000] Fund Contribution through Employee Provident Fund (EPF)**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Sales	Refers to sales transactions
Repurchases	Refers to repurchases transactions
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for the reporting month
Volume (unit)	Refers to the total unit transacted for the reporting month
New Investment	Refers to investment from a new/existing investor who injected fresh money into the fund
Reinvestment	Refers to reinvestment from income distribution of existing investor of the fund.
Switching in	Refers to switch of funds by investor from Fund A into Fund B within the same UTMC. This item is reported by Fund B as the receiving end.
Cash	Refers to transaction transacted in cash term
Switching Out	Refers to switch of funds by investor from Fund A into Fund B within the same UTMC. This item is reported by Fund A as the disposing end
Net Asset Value (RM)	Please provide the net asset value of the fund contributed by EPF as at last calendar day of the reporting month



**080.01 - [08000] Distribution**

- a) This sheet is required to be filled in the month of EX-Date e.g. If EX-Date of distribution is 30/06/2017, then this sheet is required to be filled in the reporting month of June.

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the Fund Class and Currency Class is being, or intend to be, offered. For example, if ABC-Fund B-USD can be offered in Malaysia and in Singapore, then the UTMC must submit an entry for Malaysia and another entry from Singapore (regardless if the offering in Singapore is exclusively permitted under the restricted schemes regime in Singapore). For the list of Country name – refer <a href="#">Appendix A.2</a>
EX-Date (dd/mm/yyyy)	Please provide the ex-date of distribution
Distribution per Unit - Gross (RM)	Please provide the distribution per unit value before payment of tax and other deductibles
Distribution per Unit - Net (RM)	Please provide the distribution per unit value after payment of tax and other deductibles
Total Distribution - Cash (RM)	Please provide the total cash value that is distributed to unit holders
Total Distribution - Reinvestment (RM)	Please provide the total distribution value that is reinvested back to the fund



**100.01 - [10000] Financial**

- a) In this section, please ensure that all assets and liabilities value is reported in positive value unless there is any of the investment that may be in negative position such as derivatives.
- b) In the end, the value reported shall satisfy the following equation,  
 Assets – Liabilities = Net Asset Value of the fund

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Item <dropdown>	Please choose the related financial items – refer <a href="#">Appendix B</a>
Country <dropdown>	Please choose the country where the financial item was transacted – refer <a href="#">Appendix A.2</a>
Value (RM)	Please provide the market value of financial item denominated in Ringgit Malaysia (RM) as at last calendar day of reporting month



**120.01 - [10100] Financial – Borrowings**

- a) This section is only applicable if there are any borrowings for the fund. If not applicable, please leave this section blank.

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Lender Name	Please provide lender's name as per registered with SSM or authorized body for company registration in respective country
Lender Registration Number	Please provide lender's company registration number as per registered with SSM or authorized body for company registration in respective country, if any
Purpose of Borrowing <dropdown>	Please choose either 'Repurchases' or 'Other purposes'
Description of Other Purposes	Please provide description of other purposes if "Other purposes" is selected for "Purpose of Borrowing" above
Value (RM)	Please provide the market value of borrowings denominated in Ringgit Malaysia (RM) as at reporting date

**110.01 - [10200] Financial – Other Receivables/Assets/Liabilities**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code provided
Description of Other Receivables/Assets/Liabilities	Please provide description of other receivables / liabilities if it is selected in <a href="#">100.01 - [10000] Financial</a>
Other Receivables - Value (RM)	The value of this item must be reported equivalent to the value of 'Other receivables' in <a href="#">100.01 - [10000] Financial</a>
Other Asset – Value (RM)	The value of this item must be reported equivalent to the value of 'Other assets' in <a href="#">100.01 - [10000] Financial</a>
Other Liabilities - Value (RM)	The value of this item must be reported equivalent to the value of 'Other liabilities' in <a href="#">100.01 - [10000] Financial</a>



**260.01 - [11000] Profile of Unit Holder (Annually) - Calendar Year End 31 December**

- a) UTMC is required to report profile of unit holder only at calendar year end 31 December on annual basis.

Item	Definition
Fund Code	Please provide the fund code as provided
Reporting Month <dropdown>	Please choose the reporting month
Group of Profile <dropdown>	Please choose the investor group of profile – refer <a href="#">Appendix E.4</a>
Country <dropdown>	Please choose the country where the investor resides in based on the Country name provided – refer <a href="#">Appendix A.2</a>
Retail	Refers to individual
Institution	Refers to institutional funds and corporate investors
Manager Box	Refers to unit in the fund when complying with repurchase requests and/or in creating new units to meet anticipated requests for units by investor
Related Party	Refer to unitholders that are related to UTMC
Non Related Party	Refers to unitholders that are non-related to UTMC
Value (RM)	Please provide the total value of investments for each profile group as at reporting date, i.e. 31 December
Number of unit held	The total number of unit held by each profile group as at reporting date, i.e. 31 December
Number of accounts	The total number of accounts of each profile group as at reporting date, i.e. 31 December



### 3.4 **FM02.M.UTF** comprises of the following;

#### 010.03 - [01000] Declaration

<b>Item</b>	<b>Definition</b>
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Unit Trust Management Company Name	The company name of UTMC as per registered with SSM
Unit Trust Management Company Registration Number	The company registration number of UTMC as per registered with SSM
Total Investment (RM)	This item must be reported equivalent to the total investment of all funds as reported in <a href="#">140.03 – [02000] Total Investment</a>
Signatory of Compliance Officer	This item must be filled with Compliance Officer contact information
Signatory of CEO or person authorized by the CEO	This section must be filled with information of CEO or person authorized by the CEO

**130.03 - [01100] Trustee Information**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Trustee Name	The company name of trustee as per registered with SSM
Trustee Registration Number	The company registration number of trustee as per registered with SSM
Contact Person	The designated contact person name as per IC/Passport
Designation	The designation of the contact person
IC/Passport Number	The IC/Passport number of the contact person
Contact Number	The contact number of the contact person
Email	The email of the contact person



**090.03 - [01150] Use of Brokers/Dealers**

- a) This sheet is required to be filled as at the end of the financial year of the fund, e.g. if the financial year ended of the fund is 30/06/2017, this sheet must be filled for the reporting date of 30/06/2017, covering details for the entire financial year.
- b) UTMC is required to provide information at minimum, top 10 brokers/dealers used by the UTMC for the financial year according to the Total Transaction Value for the Financial Year.
- c) The transaction value of a fund's dealing should cover equities and fixed income transactions.

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Broker/Dealer Company Registration Number	The company registration number of broker/dealer as per registered with SSM or authorized body for company registration in respective country, if any
Broker/Dealer Name	The company name of broker/dealer as per registered with SSM or authorized body for company registration in respective country
Transaction Value for the Financial Year (RM)	Please provide the transaction value for the financial year
Percentage of Fund's Dealing (%)	Please provide the total transaction value for the financial year of the broker/dealer divided by total transaction value for the financial year of the fund in percentage



For reporting of investment components, UTMC must provide full investment book value disclosure in accordance to the table below:

### **Disclosure Requirements**

<b>Compliance</b>	<b>Components</b>	<b>Disclosure Requirements</b>
2A	Investment in Ordinary Shares of a Single Issuer	Breakdown of full investment value
2B	Investment in Transferable Securities and Money Market Instruments of a Single Issuer	Breakdown of full investment value
2C	Placement of Deposits with a Single Institution (this includes current and savings account)	Breakdown of full investment value
2D	Investments in OTC Derivative of a Single Counter-Party	Breakdown of full investment value
2E	Investments in Structured Product of a Single Counter-Party	Breakdown of full investment value
2F	Aggregate Investments in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution	Breakdown of full investment value
2G	Investment in Units/Shares of a Single Collective Investment Scheme	Breakdown of full investment value
2H	Investments in Transferable Securities and Money Market Instrument of a Group of Companies	Breakdown of full investment value
3A	Concentration of Investment in transferable securities (other than debentures) issued by a Single Issuer	Breakdown of full investment value of securities issued by a single issuer
3B	Concentration of Investment in Debentures issued by a Single Issuer	Breakdown of full investment value of debentures issued by a single issuer
3C	Concentration of Investment in Money Market Instruments by a Single Issuer	Breakdown of full investment value of money market instruments issued by a single issuer
3D	Concentration of Investment in Collective Investment Scheme in any one collective investment scheme	Breakdown of full investment value of units/shares in any one collective investment scheme
4A	Investment in Unlisted Securities, units/shares in leveraged and/or inverse ETFs	Investment value for each of the unlisted securities, units/shares in leveraged or inverse ETFs



5	Investment in Permitted Investments of a Money Market Fund	Breakdown of full investment value for each permitted investment
6	Holding of Permitted Investments for a Capital Protected Fund	Investment value for all the fund's investments



### 140.03 - [02000] Total Investment

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Deposits	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">150.03 – [02100] Investment - Deposit</a>
Equities	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">160.03 – [02200] Investment - Equities</a>
Debentures/Government Securities/Money Market Instruments	This item must be reported equivalent to the total investment value for fixed income of all funds as reported in <a href="#">170.03 – [02300] Debentures/Government Securities/Money Market Instruments</a>
Derivatives	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">180.03 – [02400] Investment - Derivatives.</a>
Collective Investment Scheme	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">190.03 – [02500] Investment - Collective Investment Schemes</a>
Structured Products	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">200.03 – [02600] Investments - Structured Product</a>
Other Investment	This item must be reported equivalent to the total investment value of all funds as reported in <a href="#">210.03 – [02900] Other Investment.</a>



### 150.03 - [02100] Investment– Deposit

- a) Please refer [Appendix F.1](#) for Disclosure Requirement for Investment in Deposit

Item	Definition
Fund Code	Please provide the fund code as provided
Name of Financial Institution	The company name of financial institution as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country
Financial Institution Company Registration Number	The company registration number of financial institution as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Financial Institution Group	The ultimate holding company of financial institution. If the financial institution is the financial institution group itself, you may repeat it as financial institution group e.g. XYZ Group Bhd
Financial Institution Group Company Registration Number	The company registration number of financial institution group as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Is Issuer a Related Party to the Reporting Entity?	Please choose either 'Yes' or 'No'
Investment Type <dropdown>	Please choose the investment type related to each fund – refer <a href="#">Appendix C.1</a>
Other Investment Type (please specify)	Please provide the description of other type of investment only if dropdown `Deposits - Others` is chosen. Otherwise, please leave it blank.
Country of placement <dropdown>	Please choose country of placement based on the Country name provided – refer <a href="#">Appendix A.2</a>
Currency of Placement <dropdown>	Please choose the currency of placement based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Investment Value -Remaining Maturity Period of <365 Days (RM)	Please provide the investment value of deposit maturing (legal maturity date) in less than 365 days
Investment Value -Remaining Maturity Period of 365-732 Days (RM)	Please provide the investment value of deposit maturing (legal maturity date) in between 365 days to 732 days



Investment Value -Remaining Maturity Period of >732 Days (RM)	Please provide the investment value of deposit maturing (legal maturity date) in more than 732 days
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### 160.03 - [02200] Investment – Equities

- a) Please refer [Appendix F.2](#) for Disclosure Requirement for Investment in Equities

Item	Definition
Fund Code	Please provide the fund code as provided
Name of Issuer	The company name of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country e.g. XYZ Capital Sdn Bhd.
Issuer Company Registration Number	The company registration number of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Issuer Group	The ultimate holding company of the issuer. If the issuer is the group itself, you may repeat the issuer name as issuer group e.g. XYZ Group Bhd.
Issuer Group Company Registration Number	The company registration number of issuer group as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Stock Name	The stock name as per listed in the exchange
Stock ISIN Code	Please provide the stock ISIN Code. If it is unavailable, please key in 12 "0" in the field. E.g. "000000000000"
Sector of the Issuer <dropdown>	Please choose the sector of the issuer as per <a href="#">Appendix E.8</a>
Sector of the Issuer - Others (please specify)	Please provide the description of other sector of the issuer if dropdown 'Others' is chosen for 'Sector of the Issuer'
Is issuer a related party to the reporting entity?	Please choose either 'Yes' or 'No'
Investment Class <dropdown>	Please choose the investment class of the equity which is either 'Listed' or 'Unlisted' from the dropdown option
Investment Type <dropdown>	Please choose the investment type of equities related – refer <a href="#">Appendix C.2</a>
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown 'Equities - Others' and/or 'Hybrid – Others' is chosen for 'Investment Type'. Otherwise, please leave it blank.
Listed Shares – Exchange <dropdown>	Please choose the exchange for listed shares as per <a href="#">Appendix D</a>



Listed Share - Other Exchange (please specify)	Please provide the description of other exchange name only if dropdown `Others` is chosen for `Listed Shares – Exchange`. Otherwise, please leave it blank.
Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name as per <a href="#">Appendix A.2</a>
Issuer's Country of Incorporation <dropdown>	Please choose the issuer's country of incorporation based on the Country name as per <a href="#">Appendix A.2</a>
Currency <dropdown>	Please choose the currency of the equities in which it resides in based on the ISO code provided as per <a href="#">Appendix A.1</a>
Securities in Issue (unit)	Please provide the total units of securities in issue
Securities Held by fund (unit)	Please provide the total units of securities held by fund
Investment value (RM)	Please provide the total investment value of the equities



**170.03 - [02300] Debentures/Government Securities/Money Market**

**Instruments**

- a) Please refer [Appendix F.3](#) for Disclosure Requirement for Investment in Fixed Income Securities

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Name of Issuer	The company name of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country e.g. XYZ Capital Sdn Bhd
Issuer Company Registration Number	The company registration number of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Issuer Group	The ultimate holding company of the issuer. If the issuer is the group itself, you may repeat the issuer name as issuer group e.g. XYZ Group Bhd
Issuer Group Company Registration Number	The company registration number of issuer group as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Product ISIN Code	The 12-character product ISIN where one exists, at trading and settlement, if applicable e.g. MYL1234O1234. If it is unavailable, please key in 12 "0" in the field.
Sector of the Issuer <dropdown>	Please choose the sector of the issuer as per <a href="#">Appendix E.6</a>
Sector of the Issuer – Others (please specify)	Please provide the description of other sector of the issuer only if dropdown 'Others' is chosen for 'Sector of the Issuer'. Otherwise, please leave it blank.
Is the Issuer a Related Party to the Reporting Entity?	Please choose either 'Yes' or 'No'
Investment Type <dropdown>	Please choose the investment type for each investment group as per <a href="#">Appendix C.3</a>
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown 'Debentures – Others' or 'Money Market - Others' or 'Malaysian Government Securities - Others' is chosen for 'Investment Type'. Otherwise, please leave it blank.
Guarantee Type <dropdown>	Please choose the guarantee type as per <a href="#">Appendix E.7</a>
Product Rated/Unrated <dropdown>	Please choose either 'Rated', 'Unrated' or 'Not applicable'



Product Rating Agency / Rating <dropdown>	Please choose the <b>latest</b> rating given by the Rating Agency to the product, if applicable
Product Rating – Others (please specify)	Please provide the description of other product ratings only if dropdown 'Others' is chosen for 'Product Rating'. Otherwise, please leave it blank.
Issuer Rated/Unrated <dropdown>	Please choose either 'Rated', 'Unrated' or 'Not applicable'
Issuer Rating Agency	Please provide the issuer rating agency name
Issuer's Ratings	Please provide the issuer's ratings
Comply with the minimum credit rating requirement if single issuer limit exceed, as specified in the respective guideline <dropdown>	Please choose 'Yes', 'No', or 'Not Applicable' – refer <a href="#">Appendix E.1</a>
Country of Issuance <dropdown>	Please choose country of issuance based on the Country name provided – refer <a href="#">Appendix A.2</a> .
Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Securities in Issue (RM)	Please provide the total value of the securities in issue
Investment Value -Remaining Maturity Period of <365 Days (RM)	Please provide the investment value of the securities maturing in less than 365 days
Investment Value -Remaining Maturity Period of 365-732 Days (RM)	Please provide the investment value of the securities maturing in between 365 days to 732 days
Investment Value -Remaining Maturity Period of >732 Days (RM)	Please provide the investment value of the securities maturing in more than 732 days



### 180.03 - [02400] Investment – Derivatives

- a) Please refer [Appendix F.4](#) for Disclosure Requirement for Investment in Derivatives

Item	Definition
Fund Code	Please provide the fund code as provided
Product Name	The name of the derivatives product
Product ISIN Code	The 12-character product ISIN where one exists, at trading and settlement, if any e.g. MYL1234O1234
Counterparty Name	The company name of counter party as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if applicable e.g. XYZ Commodities Sdn Bhd
Counterparty Company Registration Number	The company registration number of counterparty with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Counterparty Group	The ultimate holding company of the counterparty (. If the counterparty is the group itself, you may repeat the counterparty name as counterparty group e.g. XYZ Group Sdn Bhd
Investment Class <dropdown>	Please choose the investment class of the derivatives which are either `Exchange traded` or `Over the counter (OTC)`
Investment Type <dropdown>	Please choose the investment type of the derivatives as per <a href="#">Appendix C.4</a>
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown `Derivatives - Others` is chosen for `Investment type`. Otherwise, please leave it blank.
Underlying Asset <dropdown>	Please choose the type of underlying asset of the derivatives – refer <a href="#">Appendix E.2</a>
Other Underlying Asset (please specify)	Please provide the description of other underlying asset only if dropdown `Others` is chosen. Otherwise, please leave it blank.
Exchange	Please provide the exchange name, if applicable, as per <a href="#">Appendix D</a>
Country of Counterparty/Exchange <dropdown>	Please choose the country of counterparty based on the Country name provided as per <a href="#">Appendix A.2</a>
Currency of Product <dropdown>	Please choose the currency of the derivatives based on the ISO code provided - refer <a href="#">Appendix A.1</a>



Notional Value (RM)	Please provide the total value of the derivative's underlying assets at the current (spot) price e.g. One XYZ Index futures contract obligates the buyer to 250 units of the ABC Index. If the index is trading at RM1, 000, then the single futures contract is similar to investing RM250, 000 (250 x RM1, 000). Therefore, RM250, 000 is the notional value underlying the futures contract
Investment value (RM)	Please provide the investment value of derivatives



**190.03 - [02500] Investment - Collective Investment Schemes**

- a) Please refer [Appendix F.5](#) for Disclosure Requirement for Investment in Collective Investment Scheme

Item	Definition
Fund Code	Please provide the fund code as provided
Name of issuer	The company name of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country
Issuer Company Registration Number	The company registration number of issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Issuer Group	The ultimate holding company of the issuer. If the issuer is the group itself, you may repeat the issuer name as issuer group e.g. XYZ Group Sdn Bhd
Name of Collective Investment Scheme Product	The name of collective investment scheme product
Collective Investment Scheme Product Code	The 12-character product ISIN where one exists, at trading and settlement, if any e.g. MYL1234O1234
Investment Type <dropdown>	Please choose the investment type in collective investment schemes as per <a href="#">Appendix C.5</a>
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown 'CIS – Others' is chosen for 'Investment Type'. Otherwise, please leave it blank.
Exchange	Please provide the exchange name, if applicable, as per <a href="#">Appendix D</a>
Country of Issuance <dropdown>	Please choose the country where the CIS is issued based on the Country name provided – refer <a href="#">Appendix A.2.</a>
Currency of Issuance <dropdown>	Please choose the currency of the CIS in which it resides in based on the ISO code provided - refer <a href="#">Appendix A.1.</a>
Securities in Issue (units)	Please provide the total units of the securities in issue
Securities Held by Fund (unit)	Please provide the total units of the securities held by fund
Investment value (RM)	Please provide the investment value of CIS



### 200.03 - [02600] Investment – Structured Products

- a) Please refer [Appendix F.6](#) for Disclosure Requirement for Investment in Structured Products

Item	Definition
Fund Code	Please provide the fund code as provided
Name of issuer	The company name of the issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country
Issuer Company Registration Number	The company registration number of the issuer with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Issuer Group	The ultimate holding company of the issuer. If the issuer is the group itself, you may repeat the issuer name as issuer group e.g. XYZ Group Bhd
Name of Structured Product	The name of structured product
Structured Product Code	The 12-character product ISIN where one exists, at trading and settlement, if any e.g. MYL1234O1234
Investment Type <dropdown>	Please choose the investment type in structured product as per <a href="#">Appendix C.6</a>
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown 'Structured Products – Others' is chosen for 'Investment Type'. Otherwise, please leave it blank.
Issuer Rating Agency	Please provide the rating agency name, if applicable e.g. RAM, MARC, S&P, Moody's, Fitch and Others
Issuer Rating	Please provide the <b>latest</b> rating given by the Rating Agency to the issuer, if applicable e.g. AAA, AA, B
Comply with the minimum credit rating requirement if single issuer limit exceed, as specified in the respective guideline	Please choose 'Yes', 'No', or 'Not Applicable' – refer <a href="#">Appendix E.1</a>
Exchange	Please provide the exchange name, if applicable, as per <a href="#">Appendix D</a>
Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name provided – refer <a href="#">Appendix A.2</a>
Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Securities in Issue (unit)	Please provide the total units of the securities in issue



Securities Held by Fund (unit)	Please provide the total units of the securities held by fund
Investment value (RM)	Please provide the investment value of the structured product



### 210.03 - [02900] Other Investment

a) UTMC is required to report all investment in other investments, if any

Item	Definition
Fund Code	Please provide the fund code as provided
Issuer Name	The company name of the issuer as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country e.g. XYZ Capital Sdn Bhd
Issuer Company Registration Number	The company registration number of issuer with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Issuer Group	The ultimate holding company of the issuer. If the issuer is the group itself, you may repeat the issuer name as issuer group e.g. XYZ Group Bhd
Product ISIN Code	The 12-character product ISIN where one exists, at trading and settlement, if any e.g. MYL1234O1234
Investment Type	Please provide the description of the investment type
Exchange	Please provide the exchange name, if applicable, as per <a href="#">Appendix D</a>
Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name provided – refer <a href="#">Appendix A.2</a>
Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Investment value (RM)	Please provide the investment value of the securities



3.5 **FM04.M.UTF** is to be reported by the foreign fund operator or its representative. The report comprises of the following;

***010.06 - [01000] Declaration***

<b>Item</b>	<b>Definition</b>
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Foreign Fund Representative Name	The company name of representative for the foreign fund as per registered with SSM
Foreign Fund Representative Company Registration Number	The company registration number of representative for the foreign fund as per registered with SSM
Foreign Fund Operator Name	The company name of the foreign fund operator as per registered authorized body for company registration in respective country
Foreign Fund Operator Registration Number	The company registration number of the foreign fund operator as per registered with authorized body for company registration in respective country
Foreign Fund Operator Country	The country of the foreign fund operator based on the ISO codes provided – refer <a href="#">Appendix A.2</a>
Total Number Of Accounts	This item must be reported equivalent to the total number of account of all funds as reported in <a href="#">020.06 – [02000] Fund Overview</a>
Total Units In Circulation	This item must be reported equivalent to the total unit in circulation of all funds as reported in <a href="#">020.06 – [02000] Fund Overview</a>
Total Sales Volume (unit)	This item must be reported equivalent to the total sales volume for all distribution channels of all funds as reported in <a href="#">060.06 – [05000] Fund Movement</a>
Total Repurchases Volume (unit)	This item must be reported equivalent to the total repurchase volume for all distribution channels of all funds as reported in <a href="#">060.06 – [05000] Fund Movement</a>
Total Manager Box (unit)	This item must be reported equivalent to the total of Manager's Box of all funds as reported in <a href="#">050.06 – [04000] Unit in Circulation Breakdown</a>
Total Net Asset Value (RM)	This item must be reported equivalent to the total net asset value of all funds as reported in <a href="#">020.06 – [02000] Fund Overview</a>
Signatory of Foreign Fund Operator/Representative	This section must be filled with the Foreign Fund Operator/Representative information
Signatory of CEO or person authorized by the CEO of Foreign Fund Representative	This section must be filled with information of CEO of Foreign Fund Representative or person authorized by the CEO of Foreign Fund Representative



**015.06 - [01050] General Information**

- a) This sheet is required to be filled as and when audited financial account is issued e.g. if the audited financial account of the fund is issued in 30/06/2017, this sheet must be filled in the reporting month of June.

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Auditor Name	Please provide the appointed auditor's name of each fund
Audit Firm No.	Please provide the audit firm number (AF Number) for each auditor
Signing Partner of Last Audited Account	The signing partner name of the last audited account
Audit Opinion of Last Audited Account	The overall audit opinion on the last audited account - refer <a href="#">Appendix E.5</a>
Financial Year End (dd/mm/yyyy)	The financial year end date of the fund. e.g. 31/12/2017



### 020.06 - [02000] Fund Overview

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Units In Circulation	The total of this item must be reported equivalent to the total unit in circulation for all distribution channels as reported in <a href="#">050.06 – [04000] Unit in Circulation</a>
Net Asset Value (RM)	Please provide the total net asset value as at last calendar day of the reporting month

**040.06 - [03000] Number of Accounts**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Country of Offer <dropdown>	Please choose the country where the fund is being or intending to be offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Retail	Refers to individual
Non-retail	Refers to other than individual
IUTA	Refers to number of account that is opened through IUTA members
CUTA	Refers to number of account that is opened through CUTA
Others	Refers to number of account that is opened through other channels besides above mentioned



### 050.06 - [04000] Units in Circulation

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is being or intending to be offered.  For example, if ABC-Fund B-USD can be offered in Malaysia and in Singapore, then the UTMC must submit an entry for Malaysia and another entry from Singapore (regardless if the offering in Singapore is exclusively permitted under the restricted schemes regime in Singapore).  For the list of Country name– refer <a href="#">Appendix A.2</a>
Retail	Refers to individual
Non-retail	Refers to other than individual
IUTA	Refers to number of units in circulation that is distributed by IUTA members
CUTA	Refers to number of units in circulation that is distributed by CUTA
Others	Refers to number units in circulation that is distributed by other channels besides above mentioned
Manager`s Box	Please provide the number of unit in the fund when complying with repurchase requests and/or in creating new units to meet anticipated requests for units by investor



***060.06 - [05000] Fund Movement – Applicable to units in Malaysia only***

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name, if applicable e.g. Case 1: ABC-Fund B-USD, please fill in 'B' in this section Case 2: ABC-Fund USD, please leave blank in this section. USD should be reflected in the Currency Class section
Currency Class <dropdown>	Please choose the currency of the class based on the ISO code provided - refer <a href="#">Appendix A.1</a>
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Method of Registration	Please choose the method of registration whether the sales or repurchases transaction is completed through 'Online' or 'Offline' channel
Sales	Refers to sales transactions
Repurchases	Refers to repurchases transactions
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for the reporting month
Volume (unit)	Refers to the total unit transacted for the reporting month
IUTA – Bank; IUTA - UTMC	Refers to sales transaction that is conducted through IUTA members. Where the units of a fund may be transacted on the IUTA's online platform, the sales and repurchases transaction data must be differentiated by the Method of Registration i.e. the amount by which the end-investors subscribed, or redeemed, the units of the fund via the IUTA's online platform must be reported separately from transactions conducted offline.
CUTA	Refers to sales transaction that is conducted through CUTA
Others	Refers to sales transactions that is conducted through other channels besides above mentioned



**100.06 - [06000] Financial**

- a) In this section, please ensure that all value is reported in positive value
- b) The Total NAV calculated from this table must be equivalent to the Total NAV of the fund

Item	Definition
Fund Code	Please provide the fund code as provided
Item	Please choose the related financial items – refer <a href="#">Appendix B</a>
Country <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Value (RM)	Please provide the value of financial item denominated in Ringgit Malaysia (RM) as at last calendar day of the reporting month

**110.06 - [06100] Financial – Other Receivables/Liabilities**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Description of other receivables / liabilities	Please provide the description of other receivables / liabilities if it is selected in <a href="#">100.06 - [06000] Financial</a>
Other Receivables - Value (RM)	The value of this item must be reported equivalent to the value of other receivables in <a href="#">100.06 - [06000] Financial</a>
Other Liabilities - Value (RM)	The value of this item must be reported equivalent to the value of other liabilities in <a href="#">100.06 - [06000] Financial</a>



**240.06 - [06200] Investment**

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Asset Class <dropdown>	Please choose the classification of asset held by the fund – refer <a href="#">Appendix E.3</a>
Investment type (please specify)	Please provide the description of investment type only if dropdown `Others` is chosen for `Asset Class`. Otherwise, please leave it blank.
Exchange	Please provide the exchange name, if applicable, as per <a href="#">Appendix D</a>
Country <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer <a href="#">Appendix A.2</a>
Value (RM)	Please provide the total value of investment denominated in Ringgit Malaysia (RM) as at last calendar day of the reporting month



3.6 **FM16.M.UTF** comprises the following tables;

010.20 - [01000] Declaration

<b>Item</b>	<b>Definition</b>
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Company Name	The company name as per registered with SSM
Company Registration Number	The company registration number as per registered with SSM
No of Non Compliance	Please provide the total number of Non-Compliance, if you do not have non-compliance, please report 0
Signatory of Compliance Officer	This section must be filled with Compliance Officer contact information
Signatory of CEO or person authorized by the CEO	This section must be filled with information of CEO or person authorized by the CEO

940.20 - [02000] Compliance Review Report - UTF

<b>Item</b>	<b>Definition</b>
Fund Code	Please provide the fund code as provided
Rule <dropdown>	Please choose the rule which is related to the non-compliance - refer <a href="#">Appendix G</a>
Reason for Non-Compliance	Please provide the reason for the non-compliance
Action Taken to Address Breach	Please describe the action taken to address the breach



# APPENDIX



## APPENDIX A: Currency and Country

### A.1 Currency

Currency	ISO Code	Currency	ISO Code
UAE Dirham	AED	Moldovan Leu	MDL
Afghani	AFN	Malagasy Ariary	MGA
Lek	ALL	Denar	MKD
Armenian Dram	AMD	Kyat	MMK
Netherlands Antillean Guilder	ANG	Tugrik	MNT
Kwanza	AOA	Pataca	MOP
Argentine Peso	ARS	Ouguiya	MRO
Australian Dollar	AUD	Mauritius Rupee	MUR
Aruban Florin	AWG	Rufiyaa	MVR
Azerbaijani Manat	AZN	Malawi Kwacha	MWK
Convertible Mark	BAM	Mexican Peso	MXN
Barbados Dollar	BBD	Mexican Unidad de Inversion (UDI)	MXV
Taka	BDT	Malaysian Ringgit	MYR
Bulgarian Lev	BGN	Mozambique Metical	MZN
Bahraini Dinar	BHD	Namibia Dollar	NAD
Burundi Franc	BIF	Naira	NGN
Bermudian Dollar	BMD	Cordoba Oro	NIO
Brunei Dollar	BND	Norwegian Krone	NOK
Boliviano	BOB	Nepalese Rupee	NPR
Mvdol	BOV	New Zealand Dollar	NZD
Brazilian Real	BRL	Rial Omani	OMR
Bahamian Dollar	BSD	Balboa	PAB
Ngultrum	BTN	Sol	PEN
Pula	BWP	Kina	PGK
Belarusian Ruble	BYR	Philippine Peso	PHP
Belize Dollar	BZD	Pakistan Rupee	PKR
Canadian Dollar	CAD	Zloty	PLN
Congolese Franc	CDF	Guarani	PYG
WIR Euro	CHE	Qatari Rial	QAR
Swiss Franc	CHF	Romanian Leu	RON
WIR Franc	CHW	Serbian Dinar	RSD
Unidad de Fomento	CLF	Russian Ruble	RUB
Chilean Peso	CLP	Rwanda Franc	RWF
Yuan Renminbi	CNY	Saudi Riyal	SAR
Colombian Peso	COP	Solomon Islands Dollar	SBD
Unidad de Valor Real	COU	Seychelles Rupee	SCR
Costa Rican Colon	CRC	Sudanese Pound	SDG
Peso Convertible	CUC	Swedish Krona	SEK
Cuban Peso	CUP	Singapore Dollar	SGD
Cabo Verde Escudo	CVE	Saint Helena Pound	SHP
Czech Koruna	CZK	Leone	SLL
Djibouti Franc	DJF	Somali Shilling	SOS
Danish Krone	DKK	Surinam Dollar	SRD
Dominican Peso	DOP	South Sudanese Pound	SSP
Algerian Dinar	DZD	Dobra	STD
Egyptian Pound	EGP	El Salvador Colon	SVC
Nakfa	ERN	Syrian Pound	SYR
Ethiopian Birr	ETB	Lilangeni	SZL
Euro	EUR	Baht	THB



Fiji Dollar	FJD	Somoni	TJS
Falkland Islands Pound	FKP	Turkmenistan New Manat	TMT
Pound Sterling	GBP	Tunisian Dinar	TND
Lari	GEL	Pa'anga	TOP
Ghana Cedi	GHS	Turkish Lira	TRY
Gibraltar Pound	GIP	Trinidad and Tobago Dollar	TTD
Dalasi	GMD	New Taiwan Dollar	TWD
Guinea Franc	GNF	Tanzanian Shilling	TZS
Quetzal	GTQ	Hryvnia	UAH
Guyana Dollar	GYD	Uganda Shilling	UGX
Hong Kong Dollar	HKD	US Dollar	USD
Lempira	HNL	US Dollar (Next day)	USN
Kuna	HRK	Uruguay Peso en Unidades Indexadas (URUIURUI)	UYI
Gourde	HTG	Peso Uruguayo	UYU
Forint	HUF	Uzbekistan Sum	UZS
Rupiah	IDR	Bolívar	VEF
New Israeli Sheqel	ILS	Dong	VND
Indian Rupee	INR	Vatu	VUV
Iraqi Dinar	IQD	Tala	WST
Iranian Rial	IRR	CFA Franc BEAC	XAF
Iceland Krona	ISK	Silver	XAG
Jamaican Dollar	JMD	Gold	XAU
Jordanian Dinar	JOD	Bond Markets Unit European Composite Unit (EURCO)	XBA
Yen	JPY	Bond Markets Unit European Monetary Unit (E.M.U.-6)	XBB
Kenyan Shilling	KES	Bond Markets Unit European Unit of Account 9 (E.U.A.-9)	XBC
Som	KGS	Bond Markets Unit European Unit of Account 17 (E.U.A.-17)	XBD
Riel	KHR	East Caribbean Dollar	XCD
Comoro Franc	KMF	SDR (Special Drawing Right)	XDR
North Korean Won	KPW	CFA Franc BCEAO	XOF
Won	KRW	Palladium	XPD
Kuwaiti Dinar	KWD	CFP Franc	XPF
Cayman Islands Dollar	KYD	Platinum	XPT
Tenge	KZT	Sucre	XSU
Kip	LAK	Codes specifically reserved for testing purposes	XTS
Lebanese Pound	LBP	ADB Unit of Account	XUA
Sri Lanka Rupee	LKR	The codes assigned for transactions where no currency is involved	XXX
Liberian Dollar	LRD	Yemeni Rial	YER
Loti	LSL	Rand	ZAR
Libyan Dinar	LYD	Zambian Kwacha	ZMW
Moroccan Dirham	MAD	Zimbabwe Dollar	ZWL



## A.2 Country

Country Name	
AFGHANISTAN	LIBERIA
ÅLAND ISLANDS	LIBYAN ARAB JAMAHIRIYA
ALBANIA	LIECHTENSTEIN
ALGERIA	LITHUANIA
AMERICAN SAMOA	LUXEMBOURG
ANDORRA	MACAO
ANGOLA	MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF
ANGUILLA	MADAGASCAR
ANTARCTICA	MALAWI
ANTIGUA AND BARBUDA	MALAYSIA
ARGENTINA	MALDIVES
ARMENIA	MALI
ARUBA	MALTA
AUSTRALIA	MARSHALL ISLANDS
AUSTRIA	MARTINIQUE
AZERBAIJAN	MAURITANIA
BAHAMAS	MAURITIUS
BAHRAIN	MAYOTTE
BANGLADESH	MEXICO
BARBADOS	MICRONESIA, FEDERATED STATES OF
BELARUS	MOLDOVA, REPUBLIC OF
BELGIUM	MONACO
BELIZE	MONGOLIA
BENIN	MONTENEGRO
BERMUDA	MONTSERRAT
BHUTAN	MOROCCO
BOLIVIA, PLURINATIONAL STATE OF	MOZAMBIQUE
BONAIRE, SINT EUSTATIUS AND SABA	MYANMAR
BOSNIA AND HERZEGOVINA	NAMIBIA
BOTSWANA	NAURU
BOUVET ISLAND	NEPAL
BRAZIL	NETHERLANDS
BRITISH INDIAN OCEAN TERRITORY	NEW CALEDONIA
BRUNEI DARUSSALAM	NEW ZEALAND
BULGARIA	NICARAGUA
BURKINA FASO	NIGER
BURUNDI	NIGERIA
CAMBODIA	NIUE
CAMEROON	NORFOLK ISLAND
CANADA	NORTHERN MARIANA ISLANDS
CAPE VERDE	NORWAY
CAYMAN ISLANDS	OMAN
CENTRAL AFRICAN REPUBLIC	PAKISTAN
CHAD	PALAU
CHILE	PALESTINIAN TERRITORY, OCCUPIED
CHINA	PANAMA
CHRISTMAS ISLAND	PAPUA NEW GUINEA
COCOS (KEELING) ISLANDS	PARAGUAY
COLOMBIA	PERU
COMOROS	PHILIPPINES
CONGO, THE DEMOCRATIC REPUBLIC OF THE	PITCAIRN
COOK ISLANDS	POLAND



COSTA RICA	PORTUGAL
CÔTE D'IVOIRE	PUERTO RICO
CROATIA	QATAR
CUBA	RÉUNION
CURAÇAO	ROMANIA
CYPRUS	RUSSIAN FEDERATION
CZECH REPUBLIC	RWANDA
DENMARK	SAINT BARTHÉLEMY
DJIBOUTI	SAINT HELENA, ASCENSION AND TRISTAN DA CUNHA
DOMINICA	SAINT KITTS AND NEVIS
DOMINICAN REPUBLIC	SAINT LUCIA
ECUADOR	SAINT MARTIN (FRENCH PART)
EGYPT	SAINT PIERRE AND MIQUELON
EL SALVADOR	SAINT VINCENT AND THE GRENADINES
EQUATORIAL GUINEA	SAMOA
ERITREA	SAN MARINO
ESTONIA	SAO TOME AND PRINCIPE
ETHIOPIA	SAUDI ARABIA
FALKLAND ISLANDS (MALVINAS)	SENEGAL
FAROE ISLANDS	SERBIA
FIJI	SEYCHELLES
FINLAND	SIERRA LEONE
FRANCE	SINGAPORE
FRENCH GUIANA	SINT MAARTEN (DUTCH PART)
FRENCH POLYNESIA	SLOVAKIA
FRENCH SOUTHERN TERRITORIES	SLOVENIA
GABON	SOLOMON ISLANDS
GAMBIA	SOMALIA
GEORGIA	SOUTH AFRICA
GERMANY	SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS
GHANA	SOUTH SUDAN
GIBRALTAR	SPAIN
GREECE	SRI LANKA
GREENLAND	SUDAN
GRENADA	SURINAME
GUADELOUPE	SVALBARD AND JAN MAYEN
GUAM	SWAZILAND
GUATEMALA	SWEDEN
GUERNSEY	SWITZERLAND
GUINEA	SYRIAN ARAB REPUBLIC
GUINEA-BISSAU	TAIWAN, PROVINCE OF CHINA
GUYANA	TAJIKISTAN
HAITI	TANZANIA, UNITED REPUBLIC OF
HEARD ISLAND AND MCDONALD ISLANDS	THAILAND
HOLY SEE (VATICAN CITY STATE)	TIMOR-LESTE
HONDURAS	TOGO
HONG KONG	TOKELAU
HUNGARY	TONGA
ICELAND	TRINIDAD AND TOBAGO
INDIA	TUNISIA
INDONESIA	TURKEY
IRAN, ISLAMIC REPUBLIC OF	TURKMENISTAN
IRAQ	TURKS AND CAICOS ISLANDS
IRELAND	TUVALU



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ISLE OF MAN	UGANDA
ISRAEL	UKRAINE
ITALY	UNITED ARAB EMIRATES
JAMAICA	UNITED KINGDOM
JAPAN	UNITED STATES
JERSEY	UNITED STATES MINOR OUTLYING ISLANDS
JORDAN	URUGUAY
KAZAKHSTAN	UZBEKISTAN
KENYA	VANUATU
KIRIBATI	VENEZUELA, BOLIVARIAN REPUBLIC OF
KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	VIET NAM
KOREA, REPUBLIC OF	VIRGIN ISLANDS, BRITISH
KUWAIT	VIRGIN ISLANDS, U.S.
KYRGYZSTAN	WALLIS AND FUTUNA
LAO PEOPLE'S DEMOCRATIC REPUBLIC	WESTERN SAHARA
LATVIA	YEMEN
LEBANON	ZAMBIA
LESOTHO	ZIMBABWE

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## APPENDIX B: Financial Item

Sub Item	FM01.M.UTF	FM04.M.UTF
Placement of Deposits	✓	
Equities	✓	
Debentures	✓	
Government Securities	✓	
Money Market Instruments	✓	
Derivatives	✓	
Collective Investment Scheme	✓	
Structured Products	✓	
Other Investment	✓	
Total Investment		✓
Cash at Bank	✓	✓
Profit Receivables	✓	✓
Interest Receivables	✓	✓
Dividend receivables	✓	✓
Amount due from Brokers	✓	✓
Amount due from FMC	✓	✓
Other Receivables	✓	✓
Other Assets	✓	
Borrowings	✓	
Amount due to Brokers	✓	
Amount due to FMC	✓	✓
Amount due to Operators		✓
Distribution Payable	✓	✓
Other Liabilities	✓	✓



## APPENDIX C: Investment Type

### C.1 Type of Deposit

Investment type
Fixed Deposit
Islamic Fixed Deposit
<b>Money Market Deposit</b>
Money Market Placement
Deposits – Others (please specify)
Deposits – Aggregated

### C.2 Type of Equities

Investment Type
Ordinary shares
Preference shares
Rights
Equities linked investments - Warrants (issued by PLC)
Equities linked investments - Others (to specify)
Hybrid - Convertible bond (rated)
Hybrid - Convertible bond (unrated)
Hybrid - Others (to specify)
Equities - Others (please specify)
Equities – Aggregated

### C.3 Type of Debentures, Money Market and Government Securities

Investment Type
<b>DEBENTURES</b>
Medium term notes
Corporate Bond
Cagamas bonds
Khazanah bonds
Asset backed securities
Negotiable instrument of deposit (>5 year)
Zero-coupon negotiable instrument of deposits
Commercial Paper (>1 year)
Loan notes
Loan stocks
Corporate sukuk
Cagamas sukuk
Khazanah sukuk
Islamic negotiable instrument of deposit (>5 year)
Islamic Commercial Paper (>1 year)
Treasury Bills - Non Malaysia Government
<b>Foreign Government Bonds</b>
<b>IMTN</b>
Debentures - Others (to specify)
<b>Debentures - Aggregated</b>




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**MONEY MARKET INSTRUMENTS**

Banker's acceptance
Repurchase agreement
Negotiable instrument of deposit (<1 year)
Negotiable instrument of deposit (>1-4 years)
Islamic negotiable instrument of deposit (<1 year)
Islamic negotiable instrument of deposit (>1-4 years)
Negotiable certificate of deposit
Negotiable Islamic debt certificate
Commercial paper
Islamic commercial paper
Money Market - Others (please specify)
<b>Money Market - Aggregated</b>
<b>General Investment Account</b>
<b>GOVERNMENT SECURITIES</b>
Malaysian Government Securities
Government Investment Issues
Treasury bills - Malaysian govt
Malaysian Government Securities – Others (please specify)
Malaysian Government Securities - Aggregated

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#### C.4 Type of Derivatives

Investment Type
Futures
Swap
Option
Forwards
Derivatives - Others (please specify)
<b>Derivatives - Aggregated</b>

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#### C.5 Type of Collective Investment Scheme

Investment Type
Closed-end fund
Exchange-traded fund
Real-estate investment trust
Unit trust fund
Wholesale fund
CIS - Others (please specify)
CIS - Aggregated

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#### C.6 Type of Structured Product

Investment Type
Credit-linked notes
Equity-linked notes
Bond-linked notes
Index-linked notes

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Currency-linked notes
Interest rate-linked notes
Commodity-linked notes
Structured warrants (listed instrument issued by investment banks)
Structured Products - Others (please specify)
<b>Structured Products - Aggregated</b>

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## C.7 Investment Group for Fixed Income Securities

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<b>Investment Group</b>
Debentures
Money Market
Malaysian Government Securities

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## APPENDIX D: List of Exchanges

List of Exchanges	
Abu Dhabi SE	Ljubljana SE
American SE	London Metal Exchange
Amman SE	London SE
ASX Derivatives Trading	Luxembourg SE
ASX SFE Derivatives Trading	Malta SE
Athens Derivatives Exchange	Mauritius SE
Athens Exchange	MexDer
Australian SE	Mexican Exchange
Bahrain Bourse	MICEX
Barbados SE	MICEX / RTS
BATS Chi-x Europe	Moscow Exchange
BATS Global Markets - US	MSCI Asia EM
Beirut SE	MSCI Asia Pacific
Belarusian Currency & Stock Exchange	MSCI EAFE
Bermuda SE	MSCI Europe
BM&FBOVESPA	MSCI Malaysia
BME Spanish Exchanges	MSCI South East Asia
BME Spanish Exchanges Barcelona	MSCI World AC
BME Spanish Exchanges Bilbao	MSCI World EM
BME Spanish Exchanges Madrid	Multi Commodity Exchange of India
BME Spanish Exchanges Valencia	Muscat Securities Market
Bolsa de Valores de Colombia	Nairobi SE
Bombay SE	Namibian SE
Borsa Istanbul	NASDAQ OMX
Borsaitaliana	NASDAQ OMX (US)
Bourse de Montreal	NASDAQ OMX Nordic Copenhagen
BRVM	NASDAQ OMX Nordic Exchange
BSE India	NASDAQ OMX Nordic Helsinki
Bucharest SE	NASDAQ OMX Nordic Iceland
Budapest SE	NASDAQ OMX Nordic Stockholm
Buenos Aires SE	NASDAQ OMX PHLX
Bursa Malaysia	National Stock Exchange India
Bursa Malaysia Derivatives	New Zealand
Casablanca SE	New Zealand Exchange
CBOE EMERG	Nigerian Stock Exchange
CBOE Futures Exchange	NYSE
CBOE SPX	NYSE Euronext (Europe)
Chicago Board of Trade	NYSE Euronext (US)
Chicago Board Options Exchange	NYSE Euronext Amsterdam
Chicago Mercantile Exchange Group	NYSE Euronext Brussels
China Financial Futures Exchange	NYSE Euronext Lisbon
Chittagong SE	NYSE Euronext Paris
CME Group	NYSE Liffe (US)
Colombia SE	NYSE Liffe Europe
Colombo SE	OMX Nordic Exchange
Copenhagen - Futop	Osaka SE
Costa Rica SE	Oslo Børs
Cyprus SE	Palestine Exchange
Dalian Commodity Exchange	Panama SE
Deutsche Börse	Philippine SE
Dhaka SE	Port Moresby SE
Dubai Financial Market	Prague SE
Egyptian Exchange	Qatar Stock Exchange



EUREX	RTS Exchange
Euro Stoxx	Santiago SE
Euronext	Saudi Stock Exchange - Tadawul
Euronext Amsterdam	Seychelles SE
Euronext Brussels	Shanghai Futures Exchange
Euronext Lisbon	Shanghai SE
Euronext Paris	Shenzhen SE
GreTai Securities Market	Singapore Exchange
Hanoi SE	SIX Swiss Exchange
HEX	Sydney SE
HoChiMinh SE	TAIFEX
Hong Kong Exchanges	Taipei Exchange
ICE Futures Canada	Taiwan SE Corp
ICE Futures Europe	Tehran SE
ICE Futures US	Tel Aviv SE
Indonesia SE	Thailand Futures Exchange
International Securities Exchange	The Nigerian Stock Exchange
Irish SE	The Stock Exchange of Thailand
Jamaica SE	TMX Group
Japan Exchange Group - Osaka	Tokyo SE Group
Japan Exchange Group - Tokyo	Toronto SE
Jasdaq	Tunis SE
Johannesburg SE	Ukrainian Exchange
Kazakhstan SE	Warsaw SE
Korea Exchange	Wiener Börse
Kuwait Stock Exchange	Zagreb SE
Liffe	Zhengzhou Commodity Exchange
Lima SE	Others

\*this list provided is for example purpose. If the exchanges are not in the list, please fill in accordingly



## APPENDIX E: Others

### E.1 Compliance on Rating

Comply with the minimum credit rating requirement if single issuer limit exceed, as specified in the respective guideline
Yes
No
Not Applicable

### E.2 Type of underlying asset in Derivatives

Underlying Asset
Equities
Debentures
Interest Rate
Exchange Rate
Commodities
Index
Others

### E.3 Asset Class of Foreign Fund

Asset Class
Equities
Fixed Income Securities
Collective Investment Scheme
Others

### E.4 Group Profile of Unit Holders

Group of Profile
Bumiputera
Non-bumiputera (Chinese)
Non-bumiputera (Indian)
Non-bumiputera (Others)
Foreigner
Manager Box

### E.5 Audit Opinion

Audit Opinion of Last Audited Account
Unqualified Opinion
Unqualified Opinion with Emphasis of Matter
Qualified Opinion
Disclaimer of Opinion
Adverse Opinion



## E.6 Sector of the Issuer (For 170.3)

Sector of the Issuer
Agriculture, Forestry and Fishing
Construction
Electricity, Gas and Water Supply
Financing, Insurance, Real Estate and Business Services
Government and Other Services
Manufacturing
Mining and Quarrying
Transportation, Storage and Communications
Wholesale, Retail Trade, Restaurant and Hotels
Others

## E.7 Guarantee Type

Guarantee Type
Government Guarantee (Home Country)
Corporate Guarantee
Financial Guarantee
Individual Guarantee
No Guarantee

## E.8 Sector of the Issuer (For 160.3)

Sector of the Issuer
Bond Islamic
Closed End Fund
Construction
Consumer Products & Services
Energy
Exchange Traded Fund-Bond
Exchange Traded Fund-Commodity
Exchange Traded Fund-Equity
Financial Services
Health Care
Industrial Products & Services
Plantation
Property
Real Estate Investment Trusts
Special Purpose Acquisition Company
Structured Warrants
Technology
Telecommunications & Media
Transportation & Logistics
Utilities
Others



## APPENDIX F: Disclosure Requirement

This appendix will show the disclosure for each asset class and example whereby if the information is already reported for one disclosure requirement, there should not be any duplicate reporting on that investment.

### F.1 Disclosure Requirement - Deposits

#### Investment – Deposits

2C – Full investment value in deposits of a single issuer

2F – Full investment value of Deposits portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

5 – Full investment value of Deposits portion in Permitted Investments of a *Money Market Fund*

6 – All investment in Deposits for a *Capital Protected Fund*

Example:

Name of Financial Institution	Investment Type	Investment Value - Remaining Maturity Period of <365 Days (RM)	Investment Value - Remaining Maturity Period of 365-732 Days (RM)	Investment Value - Remaining Maturity Period of >732 Days (RM)	Total Investment (RM)	2C	2F
A1	Fixed Deposit	1,000,000	9,000,000		10,000,000	Full Investment Value	
B1	General Investment Account		8,500,000	500,000	9,000,000	Full Investment Value	
C1	Fixed Deposit	500,000	7,500,000		8,000,000	Full Investment Value	
C2	General Investment Account		7,000,000		7,000,000	Full Investment Value	
D1	Fixed Deposit	2,000,000	4,000,000		6,000,000	Full Investment Value	
D2	General Investment Account	500,000	3,500,000	1,000,000	5,000,000	Full Investment Value	
E1	Fixed Deposit	2,000,000	1,500,000	500,000	4,000,000	Full Investment Value	Full Investment Value
F1	Fixed Deposit	1,000,000	2,000,000		3,000,000	Full Investment Value	
G1	Fixed Deposit	2,000,000			2,000,000	Full Investment Value	Full Investment Value
G2	General Investment Account		800,000	200,000	1,000,000	Full Investment Value	
H1	General Investment Account		500,000		500,000		Full Investment Value
<b>TOTAL INVESTMENT IN DEPOSIT (RM)</b>					<b>55,500,000</b>		



## F.2 Disclosure Requirement - Equities

### Investment – Equities

2A - Full investment value of Ordinary Shares of a Single Issuer

2B – Full investment value of Equities & Warrant portion in Transferable Securities and Money Market Instruments of a Single Issuer

2F – Full investment value of Equities & Warrant portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

2H – Full investment value of Equities & Warrant portion in Transferable Securities and Money Market Instrument of a Group of Companies

3A - Full investment value of Equities or Warrants of a Single Issuer (securities held by fund / securities in issue)

4A - All investment in Unlisted Securities

Example:

Name of Issuer	Issuer Group	Investment Class	Investment Type	Securities in Issue (Unit)	Securities held by fund (Unit)	Investment Value (RM)	2A	2B	2F	2H	3A
A3	A Group	Listed	Ordinary Shares	12,000,000	80,000	15,000,000	Full Investment Value		Full Investment Value		
E1	E Group	Listed	Ordinary Shares	130,000	10,000	12,000,000	Full Investment Value	Full Investment Value	Full Investment Value		
I3	I Group	Listed	Ordinary Shares	100,000	9,000	11,000,000	Full Investment Value	Full Investment Value		Full Inv	
F3	F Group	Listed	Ordinary Shares	200,000	600	10,500,000	Full Investment Value	Full Investment Value			
L3	L Group	Listed	Ordinary Shares	130,000	8,000	9,500,000	Full Investment Value	Full Investment Value	Full		
K3	K Group	Listed	Ordinary Shares	140,000	7,000	9,000,000	Full Investment Value	Full Investm V			
F4	F Group	Listed	Ordinary Shares	230,000	400	8,000,000	Full Investment Value				
O3	O Group	Listed	Ordinary Shares	100,000	6,000	6,000,000	Full Inve				
B3	B Group	Listed	Ordinary Shares	110,000	5,000	3,500,00					
H3	H Group	Listed	Ordinary Shares	200,000	300						
J3	J Group	Listed	Equities linked investments - Warrants (issued by PLC)	130,0							
D3	D Group	Listed	Ordinary Sha								
M3	M Group	Listed	O								
D3	D Group	List									
D4	D Gro										



## F.3 Disclosure Requirement – Fixed Income Securities

### Investment – Fixed Income Securities

2B – Full investment value of Debentures & Money Market Instruments (MMI) portion in Transferable Securities and Money Market Instruments of a Single Issuer

2F – Full investment value of Debentures & Money Market Instruments (MMI) portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

2H - Full investment value of Debentures & Money Market Instruments (MMI) portion in Transferable Securities and Money Market Instrument of a Group of Companies

3B - Full investment value of Debentures of a Single Issuer (securities held by fund / securities in issue)

3C - Full investment value of Money Market Instruments (MMI) of a Single Issuer (securities held by fund / securities in issue)

4A - All investment in Unlisted Securities

5 – Full investment value of Debentures & Money Market Instruments (MMI) portion in Permitted Investments of a *Money Market Fund*

6 – All investment in Fixed Income Securities for a *Capital Protected Fund*



Example:

Name of Issuer	Issuer Group	Investment Group	Investment Type	Securities In Issue (RM)	Investment Value - Remaining Maturity Period of <365 Days (RM)	Investment Value - Remaining Maturity Period of 365-732 Days (RM)	Investment Value - Remaining Maturity Period of >732 Days (RM)	Total Investment (RM)	2B	2F	2H	3B	3C
E1	E Group	MMI	Repurchase Agreement	50,000,000	1,000,000	2,000,000		3,000,000	Full Investment Value	Full Investment Value		Full Investment Value	
I3	I Group	Debentures	Loan Stocks	12,000,000		1,000,000		1,000,000	Full Investment Value		Full Investment Value		Full Investment Value
F3	F Group	MMI	Commercial Paper	80,000,000	2,500,000	200,000		2,700,000	Full Investment Value		Full Investment Value	Full Investment Value	
L3	L Group	Debentures	Loan Stocks	28,000,000	1,000,000	500,000	300,000	1,800,000	Full Investment Value	Full Investment Value	Full Investment Value		Full Investment Value
K3	K Group	MMI	Loan Notes	60,000,000	500,000	5,000,000		5,500,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
F4	F Group	Debentures	Corporate Bonds	54,000,000	1,000,000			1,000,000	Full Investment Value	Full Investment Value	Full Investment Value		Full Investment Value
O3	O Group	MMI	Commercial Paper	50,000,000			2,500,000	2,500,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
B3	B Group	Debentures	Loan Stocks	28,000,000		280,000		280,000	Full Investment Value	Full Investment Value	Full Investment Value		Full Investment Value
H3	H Group	MMI	Loan Notes	70,000,000		1,200,000	5,000,000	6,200,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
J3	J Group	Debentures	Corporate Bonds	30,000,000			2,000,000	2,000,000	Full Investment Value	Full Investment Value	Full Investment Value		Full Investment Value
A3	A Group	MMI	Repurchase Agreement	50,000,000		3,000,000		3,000,000		Full Investment Value		Full Investment Value	
J3	J Group	Debentures	Corporate Sukuk	45,000,000		2,500,000		2,500,000		Full Investment Value	Full Investment Value		Full Investment Value
D3	D Group	MMI	Commercial Paper	90,000,000	8,000,000			8,000,000		Full Investment Value	Full Investment Value	Full Investment Value	
M3	M Group	Debentures	Corporate Sukuk	85,000,000	500,000		8,000,000	8,500,000			Full Investment Value		Full Investment Value
Z3	Z Group	MMI	Commercial Paper	50,000,000		500,000		500,000				Full Investment Value	
Z4	Z Group	Debentures	Loan Stocks	50,000,000	500,000			500,000					Full Investment Value
X1	X Group	MMI	Commercial Paper	85,000,000			2,000,000	2,000,000				Full Investment Value	
X2	X Group	Debentures	Loan Notes	35,000,000			3,000,000	3,000,000					Full Investment Value
V1	V Group	MMI	Repurchase Agreement	60,000,000		2,800,000		2,800,000				Full Investment Value	
V2	V Group	Debentures	Loan Notes	40,000,000			1,200,000	1,200,000					Full Investment Value
<b>TOTAL INVESTMENT IN FIXED INCOME SECURITIES (RM)</b>								<b>57,980,000</b>					



## F.4 Disclosure Requirement – Derivatives

### Investment – Derivatives

2D - Full investment value of OTC Derivative of a Single Counter-Party

2F – Full investment value of OTC Derivative portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

Example:

Counterparty Name	Investment Class	Investment Type	Underlying Asset	Investment Value (RM)	2D	2F
A5	Over the counter (OTC)	Futures	Interest Rate	3,000,000	Full Investment Value	
B5	Over the counter (OTC)	Swap	Exchange Rate	2,500,000	Full Investment Value	
C5	Over the counter (OTC)	Option	Index	2,200,000	Full Investment Value	
D5	Over the counter (OTC)	Forwards	Exchange Rate	2,000,000	Full Investment Value	
E5	Over the counter (OTC)	Swap	Commodities	1,800,000	Full Investment Value	
F5	Over the counter (OTC)	Option	Index	1,700,000	Full Investment Value	
B3	Over the counter (OTC)	Forwards	Commodities	1,500,000	Full Investment Value	Full Investment Value
F4	Over the counter (OTC)	Swap	Exchange Rate	1,400,000	Full Investment Value	Full Investment Value
G5	Over the counter (OTC)	Option	Index	1,100,000	Full Investment Value	Full Investment Value
H5	Over the counter (OTC)	Swap	Exchange Rate	1,000,000	Full Investment Value	
A3	Over the counter (OTC)	Forwards	Exchange Rate	900,000		Full Investment Value
E1	Over the counter (OTC)	Futures	Commodities	500,000		Full Investment Value
<b>TOTAL INVESTMENT IN DERIVATIVES (RM)</b>				<b>19,600,000</b>		



## F.5 Disclosure Requirement – Collective Investment Scheme

### Investment – Collective Investment Scheme

2G - Full investment value of Units/Shares of a Single Collective Investment Scheme

3D – Full investment value of Investment/Shares in Collective Investment Scheme of a Single Issuer  
(securities held by fund / securities in issue)

Example:

Name of Issuer	Name of Collective Investment Scheme Product	Investment Type	Securities in Issue (Unit)	Securities held by fund (Unit)	Investment Value (RM)	2G	3D
A7	AA TRUST	Business Trust	12,000,000	80,000	7,500,000	Full Investment Value	
E7	AA FUND	Closed-end fund	130,000	10,000	7,000,000	Full Investment Value	Full Investment Value
I7	ETF A	Exchange-traded fund	100,000	9,000	6,500,000	Full Investment Value	Full Investment Value
F7	AREIT	Real-estate investment trust	200,000	6,000	6,000,000	Full Investment Value	Full Investment Value
L7	BB FUND	Unit trust fund	130,000	8,000	5,500,000	Full Investment Value	Full Investment Value
K7	AC FUND	Wholesale fund	140,000	7,000	5,000,000	Full Investment Value	Full Investment Value
F7	ETF B	Exchange-traded fund	230,000	400	4,500,000	Full Investment Value	
P7	BREIT	Real-estate investment trust	100,000	6,000	4,000,000	Full Investment Value	Full Investment Value
S7	ETF C	Exchange-traded fund	110,000	5,000	3,500,000	Full Investment Value	Full Investment Value
G7	CREIT	Real-estate investment trust	200,000	3,000	3,000,000	Full Investment Value	Full Investment Value
X7	CC FUND	Unit trust fund	130,000	4,000	300,000		Full Investment Value
Z7	AB FUND	Wholesale fund	100,000	3,000	350,000		Full Investment Value
<b>TOTAL INVESTMENT IN COLLECTIVE INVESTMENT SCHEME (RM)</b>					<b>53,150,000</b>		



## F.6 Disclosure Requirement – Structured Products

### Investment – Structured Products

2E - Full investment value of Structured Product of a Single Counter-Party

2F – Full investment value of Structured Products portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

Example:

Name of Issuer	Investment Type	Issuer Rating Agency	Issuer Rating	Investment Value (RM)	2E	2F
A6	Credit-linked notes	RAM	AA2	2,500,000	Full Investment Value	
B6	Equity-linked notes	RAM	AA1	2,200,000	Full Investment Value	
C6	Bond-linked notes	S&P	BB+	1,900,000	Full Investment Value	
D6	Index-linked notes	Fitch	AA-	1,850,000	Full Investment Value	
E6	Currency-linked notes	MARC	AAA	1,800,000	Full Investment Value	
F6	Interest rate-linked notes	S&P	BBB	1,600,000	Full Investment Value	
F4	Commodity-linked notes	S&P	A-	1,500,000	Full Investment Value	Full Investment Value
B3	Structured warrants (listed instrument issued by investment banks)			1,300,000	Full Investment Value	Full Investment Value
A3	Index-linked notes	S&P	AA-	800,000	Full Investment Value	Full Investment Value
H5	Currency-linked notes	Moody's	A1	500,000	Full Investment Value	
E1	Commodity-linked notes	DBRS	AA	230,000		Full Investment Value
<b>TOTAL INVESTMENT IN STRUCTURED PRODUCT (RM)</b>				<b>16,180,000</b>		



## APPENDIX G: Compliance Review Report

Rules	Components
<b>1</b>	Manager's Box
<b>2A</b>	Investment in Ordinary Shares of a Single Issuer
<b>2B</b>	Investment in Transferable Securities and Money Market Instruments of a Single Issuer
<b>2C</b>	Placement of Deposits with a Single Institution (this includes current and savings account)
<b>2D</b>	Investments in OTC Derivative of a Single Counter-Party
<b>2E</b>	Investments in Structured Product of a Single Counter-Party
<b>2F</b>	Aggregate Investments in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution
<b>2G</b>	Investment in Units/Shares of a Single Collective Investment Scheme
<b>2H</b>	Investments in Transferable Securities and Money Market Instrument of a Group of Companies
<b>3A</b>	Concentration of Investment in transferable securities (other than debentures) issued by a Single Issuer
<b>3B</b>	Concentration of Investment in Debentures issued by a Single Issuer
<b>3C</b>	Concentration of Investment in Money Market Instruments by a Single Issuer
<b>3D</b>	Concentration of Investment in Collective Investment Scheme in any one collective investment scheme
<b>4A</b>	Investment in Unlisted Securities, units/shares in leveraged and/or inverse ETFs
<b>5</b>	Investment in Permitted Investments of a Money Market Fund
<b>6</b>	Holding of Permitted Investments for a Capital Protected Fund
<b>7</b>	Use of Brokers/Dealers