



Suruhanjaya Sekuriti
Securities Commission
Malaysia

**THE ETF STATISTICAL AND INVESTMENT (ALSO KNOWN AS
COMPLIANCE) RETURNS REPORTING MANUAL**



DOCUMENT CONTROL

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1.0	31/03/2017	SC	
3.0.1	28/06/2021	SC	Updated as per tool release v3.0.1
3.0.2	14/3/2022	SC	Changes to Appendix F



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PART A: GENERAL

1. INTRODUCTION

- 1.1 This reporting manual serves as internal guidance to the preparation of Statistical and Compliance Returns (collectively referred to as “ETF Returns”) of the fund.
- 1.2 It is applicable to all fund management company (FMC) approved under Capital Markets and Services Act 2007 (CMSA) to issue, offer for subscription or purchase, or issue an invitation to subscribe for or purchase an exchange-traded fund.
- 1.3 FMC should 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 FMC is required to submit the reports to the SC in the form XBRL instance documents via SC Common Reporting Platform (ComRep) Submission System.
- 1.5 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 FMC shall report all funds managed by the company in reports grouped by its respective Trustee.
- 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.
e.g.12345678X
- 2.4 IC Number column should be filled without any dash.
e.g. 800101011234
- 2.5 All field related to 'Currency' must apply the ISO code provided in [Appendix A.1](#) for each single fund, if applicable.
- 2.6 All field related to 'Country' must apply the Country Name as provided in [Appendix A.2](#) for each single 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	Definition
FM05.Q.ETF	ETF Statistical & Investment Returns
FM06.Q.ETFa	ETF Statistical Returns – Foreign ACMF*
FM06.Q.ETFb	ETF Statistical Returns – Foreign Non-ACMF*
FM16.Q.ETF	Compliance Review Report - ETF

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

Report Name		ETF Statistical & Investment Returns	ETF Statistical Returns – Foreign ACMF*	ETF Statistical Returns – Foreign Non-ACMF*	Compliance Review Report – ETF
Report Number		8	10a	10b	22
Tab ID	Tab Description	FM05.Q.ETF	FM06.Q.ETFa	FM06.Q.ETFb	FM16.Q.ETF
000	Scoping Questions	000			000
010	Declaration	010.08			010.20
015	General Information	015.08			
020	Fund Overview	020.08			
025	Market Capitalisation and Trading Volume	025.08			
060	Fund Movement	060.08			
100	Financial	100.08			
110	Financial – Others	110.08			
130	Trustee Information	130.08			
160	Investment - Equities	160.08			
170	Investment - Fixed Income Securities	170.08			
180	Investment - Derivatives	180.08			
190	Investment - Collective Investment Scheme	190.08			
200	Investment - Structured Products	200.08			
210	Investment - Others	210.08			
250	Investment - Index Constituents	250.08			
255	Index Value	255.08			
260	Profile of Unit Holder	260.08			
960	Compliance Review Report - ETF				960.22

*effective date will be announced by SC



3.3 FM05.Q.ETF comprises the following tables;

010.08 - [01000] Declaration

Item	Definition
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Management Company Name	The fund management company name as per registered with SSM
Management Company Registration Number	The fund management company registration number as per registered with SSM
Total Asset Value (RM)	This item must be reported equivalent to the total asset of all funds as reported in 100.08 - [04000] Financial
Total Net Asset Value (RM)	This item must be reported equivalent to the total asset of all fund minus liabilities as reported in 100.08 - [04000] Financial
Signatory of Compliance Officer	This section must be filled with Compliance Officer contact information
Signatory of CEO or person authorised by the CEO	This section must be filled with information of CEO or person authorized by the CEO



015.08 - [01050] General Information

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

Item	Definition
Fund Code	Please provide the fund code as provided
Index ISIN Code	Please provide the underlying index ISIN code of each fund, if any
Index Name	Please provide the name of the underlying index or benchmark of each fund
Index Issuer	Please provide the name of the provider of the underlying index or benchmark of each fund
Auditor Name	Please provide the appointed auditor's name of each fund, as and when available
Audit Firm No.	Please provide the audit firm number (AF Number) for each auditor, as and when available
Signing Partner of Last Audited Account	The signing partner name of the last audited account, as and when available
Audit Opinion of Last Audited Account	The overall audit opinion on the last audited account, as and when available - refer Appendix E.4
Latest Audited Financial Year End (dd/mm/yyyy)	The latest audited financial year end, as and when available e.g. 31/12/2017

**130.08 - [01100] Trustee Information**

Item	Definition
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



025.08 - [02000] Market Capitalisation and Trading Volume

Item	Definition
Month <dropdown>	Please choose the related month of the reporting quarter
Fund Code	Please provide the fund code as provided
Primary Exchange Status <dropdown>	Refers to the status of exchange for dual/cross listed fund. Please choose `Yes` if the exchange is the primary exchange or a single listed fund, otherwise choose `No`
Currency Class <dropdown>	Please choose the currency class of the fund based on the ISO code provided - refer Appendix A.1
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer Appendix A.2
Exchange	Please provide the exchange name. E.g. Bursa Malaysia – refer Appendix D
Stock Code	Please provide the stock code of each fund as per listed in the stock exchange
Number of Units Listed (unit)	Please provide the total number of units listed for each fund
Lowest Traded Price (RM per unit)	Please provide the lowest trading price for each month of the reporting quarter
Highest Traded Price (RM per unit)	Please provide the highest trading price for each month of the reporting quarter
Closing Market Price (RM per unit)	Please provide the closing market price as at last trading day for each month of the reporting quarter
Average Trading Volume (unit)	Please provide the average trading volume for each month of the reporting quarter
Market Capitalization (RM)	Please provide the market capitalization as at last trading day for each month of the reporting quarter
Net Asset Value (RM)	Please provide the total net asset value fund for each month of the reporting quarter
Creation	Refers to units created
Redemption	Refers to redemption of portfolio deposit
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for each month of the reporting quarter
Volume (unit)	Refers to the total unit transacted for each month of the reporting quarter



020.08 - [03000] Fund Overview (for Malaysia ETF Being Offered as Unlisted Fund abroad)

- a) This sheet is only applicable to local ETF that is being offered as unlisted fund abroad.

Item	Definition
Month <dropdown>	Please choose the related month of the reporting quarter
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the specific class assigned to the fund, 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 class of the fund based on the ISO code provided as per Appendix A.1
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided as per Appendix A.2
Units in Issue	Please provide the total unit issuance of the fund
Total Asset Value (RM)	Please provide the total asset value of each fund for each month of the reporting quarter
Net Asset Value (RM)	Please provide the total net asset value of each fund for each month of the reporting quarter
Creation	Refers to units created
Redemption	Refers to redemption of portfolio deposit
Value (RM)	Refers to the total value of transactions denominated in Ringgit Malaysia (RM) for the reporting quarter
Volume (unit)	Refers to the total unit transacted for the reporting quarter



100.08 - [04000] Financial

- a) In this section, please ensure that all assets and liabilities value is reported in positive value unless any of the investment which may be in negative position such as derivatives.
- b) In the end, the value from this table must adhere the following formula,
 Assets – Liabilities = Total NAV for the fund

Item	Definition
Fund Code	Please provide the fund code as provided
Item <dropdown>	Please choose the related financial items – refer Appendix B
Local/Foreign	Please choose either option – ‘Local’ or Foreign
Value (RM)	Please provide the market value of financial item denominated in Ringgit Malaysia (RM) as at last calendar day for the reporting quarter

**110.08 - [04100] Financial – Other Receivables/Liabilities**

Item	Definition
Fund Code	Please provide the fund code provided
Description of other receivables / liabilities	Please provide the description of other receivables / liabilities if it is selected in 100.08 - [04000] Financial .
Other Receivables - Value (RM)	The value of this item must be reported equivalent to the value of 'Other Receivables' in 100.08 - [04000] Financial
Other Liabilities - Value (RM)	The value of this item must be reported equivalent to the value of 'Other Liabilities' in 100.08 - [04000] Financial



160.08 - [04200] Investment – Equities

- a) FMC is required to provide information for investments in both **listed and unlisted** equities.
- b) Please refer [Appendix F](#) for detailed example.

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.
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 provide the stock code for the listed equities. For investment in unlisted equities, please provide the company registration number in this column
Investment Class <dropdown>	Please choose the investment class of the equity which are either `Listed` or `Unlisted` from the dropdown option
Investment Type <dropdown>	Please choose the investment type of equities related– refer Appendix C.1
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 this blank.
Listed Shares - Exchange	Please provide the exchange name as per Appendix D
Unlisted Shares - Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name as per Appendix A.2
Currency <dropdown>	Please choose the currency of the equities in which it resides in based on the ISO code provided as per Appendix A.1
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



170.08 - [04300] Debentures/Government Securities/Money Market

Instruments

- a) FMC is required to provide full investment information on Debentures, Money Market and Government Securities;
- b) The investment type for each group is summarized in [Appendix C.2](#)
- c) Please refer [Appendix F](#) for detailed example.

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
Product ISIN Code	The 12-character product ISIN where one exists, at trading and settlement, if applicable e.g. MYL1234O1234
Investment Group <dropdown>	Please choose the investment group as per Appendix C.6
Investment Type <dropdown>	Please choose the investment type for each investment group as per Appendix C.2
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown `Debentures – Others` and/or `Money Market – Others` and/or `Malaysian Government Securities - Others` is chosen for `Investment Type`. Otherwise, please leave it blank.
Rated/Unrated <dropdown>	Please choose if the product is rated or unrated. If the securities is unrated, please leave blank on other rating details – refer Appendix E.1
Product Rating Agency	Please provide the rating agency name, if applicable e.g. RAM, MARC, S&P, Moody`s, Fitch and Others.
Product Rating	Please provide the latest rating given by the Rating Agency to the product, if applicable e.g. AAA, AA, B
Country of Issuance <dropdown>	Please choose country of issuance based on the Country name provided – refer Appendix A.2



Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer Appendix A.1
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 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



180.08 - [04400] Investment – Derivatives

- a) FMC is required to provide information for investments in derivatives.
 b) Please refer [Appendix F](#) for detailed example.

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
Rated/Unrated	Please choose if the counterparty is rated or unrated. If the securities is unrated, please leave blank on other rating details – refer Appendix E.1
Counterparty Rating Agency	Please provide the rating agency name, if applicable e.g. RAM, MARC, S&P, Moody`s, Fitch and Others
Counterparty Rating	Please provide the latest rating given by the Rating Agency to the counterparty, if applicable e.g. AAA, AA, B
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 Appendix C.3 .
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 Appendix E.2
Other Underlying Asset (please specify)	Please provide the description of other underlying asset only if dropdown `Others` is chosen for `Underlying Asset`. Otherwise, please leave it blank.



Exchange	Please provide the exchange name, if applicable, as per – Appendix D
Country of Counterparty <dropdown>	Please choose the country of counterparty based on the Country name provided as per Appendix A.2
Currency of Product <dropdown>	Please choose the currency of the derivatives based on the ISO code provided – refer Appendix A.1
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



190.08 – [04500] Investment – Collective Investment Schemes

- a) FMC is required to provide the details for full investment in CIS.
- b) Please refer [Appendix F](#) for detailed example.

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 related to each fund as per Appendix C.4
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 Appendix D
Country of Issuance <dropdown>	Please choose the country where the CIS is issued based on the Country name provided – refer Appendix A.2
Currency of Issuance <dropdown>	Please choose the currency of the CIS in which it resides in based on the ISO code provided - refer Appendix A.1
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 CIS



200.08 - [04600] Investment – Structured Products

- a) FMC is required to provide information for investments in structured product.
 b) Please refer [Appendix F](#) for detailed example.

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 Appendix C.5
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 latest 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'
Exchange	Please provide the exchange name, if applicable, as per Appendix D
Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name provided – refer Appendix A.2
Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer Appendix A.1
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

**205.08 - [04650] Investment - Commodities**

Item	Definition
Fund Code	Please provide the fund code as provided
Name of Supplier	The company name of the supplier as per registered with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country
Supplier Company Registration Number	The company registration number of the supplier with SSM or any other authorized body in Malaysia, or authorized body for company registration in respective country, if any
Investment Type	Please choose either option – ‘Gold’ or ‘Silver’
Investment Value (RM)	Please provide the investment value of the commodity stated

**250.08 - [04700] Index Constituents**

Item	Definition
Fund Code	Please provide the fund code as provided
Index Constituents	Refers to the securities that are part of the larger index or benchmark
ISIN Code	The 12-character product ISIN where one exists, at trading and settlement, if any e.g. MYL1234O1234
Exchange	Please provide the exchange name, as per Appendix D
Weighting of Constituents (%)	Please provide the weightage of the constituents of the index or benchmark in percentage

**255.08 – [04800] Index Value**

Item	Definition
Month <dropdown>	Please choose the month of the reporting quarter
Index ISIN Code	Please provide the underlying index ISIN code, if any
Index Name	Please provide the underlying index or benchmark name of each fund
Index Value	Please provide the index or benchmark value of each index or benchmark as at the last trading day of each month for the reporting quarter



210.08 - [04900] Other Investment

- a) Fund Management Company is required to provide all information in other investments.

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 Appendix D
Country of Issuance <dropdown>	Please choose the country of issuance based on the Country name provided – refer Appendix A.2
Currency of Issuance <dropdown>	Please choose the currency of issuance based on the ISO code provided - refer Appendix A.1
Investment value (RM)	Please provide the investment value of the other investment



260.08 - [05000] Profile of Unit Holder (Annually) - Calendar Year End 31

December

- a) Fund Management Company 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
Group of Profile	Please choose the investor group profile– Refer Appendix E.3.
Country <dropdown>	Please choose the country where the unit holder is based on the Country name provided – refer Appendix A.2
Individual	Refers to retail unit holders
Institution	Refers to institutional funds and corporate investors.
Related Party	Refers to unit holders that are related to the fund management company
Non Related Party	Refers to unit holders that are non-related to the fund management company
Value for Unlisted Funds only (RM)	Refers to the investment value for unlisted funds of each profile group for each fund, as at reporting date, i.e. 31 December
Number of Unit Held	Refers to the number of units held by each profile group for each fund, as at reporting date, i.e. 31 December
Number of Unit Holders	Refers to the number of unit holders of each profile group for each fund, as at reporting date, i.e. 31 December



060.08 - [07000] Fund Movement

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the specific class assigned to the fund, 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 class of the fund based on the ISO code provided - refer Appendix A.1
Country of Offer <dropdown>	Please choose the country where the fund is offered at based on the Country name provided – refer Appendix A.2
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
Direct	Refers to sales and repurchases transactions that are conducted by the employees of the fund management company
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
CUTA	Refers to sales and repurchases transaction that is conducted through CUTA
Others	Refers to sales and repurchases transactions that is conducted through other channels besides mentioned above



3.4 **FM16.Q.ETF** comprises the following tables;

010.20 - [01000] Declaration

Item	Definition
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Company Name	The fund management company name as per registered with SSM
Company Registration Number	The fund management company registration number as per registered with SSM
No of Non Compliance	Please provide the total number of Non-Compliance
Signatory of Compliance Officer	This section must be filled with Compliance Officer contact information
Signatory of CEO or person authorised by the CEO	This section must be filled with information of CEO or person authorised by the CEO

960.22 - [02000] Compliance Review Report - ETF

Item	Definition
Fund Code	Please provide the fund code as provided
Rule <dropdown>	Please choose the rule which is related to the non-compliance - refer Appendix G
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: ISO Codes

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	XPB
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 Name

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
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



APPENDIX B: Financial Item

Sub Item	FM05.Q.ETF	FM06.Q.ETFa	FM06.Q.ETFb
Equities	✓		
Debentures	✓		
Government Securities	✓		
Money Market Instruments	✓		
Derivatives	✓		
Collective Investment Scheme	✓		
Structured Products	✓		
Other Investment	✓		
Cash at Bank	✓		
Placements of Deposits	✓		
Profit Receivables	✓		
Interest Receivables	✓		
Dividend Receivables	✓		
Amount due from Brokers	✓		
Amount due from FMC	✓		
Other Receivables	✓		
Amount due to Brokers	✓		
Amount due to FMC	✓		
Distribution Payable	✓		
Other liabilities	✓		
Commodities	✓		



APPENDIX C: Investment Type

C.1 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.2 Type of Debentures, Money market and Government Securities

Investment Type
DEBENTURES
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
Bond/Debentures - Others (to specify)
Other Debentures



MONEY MARKET

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

Others (to specify)

GOVERNMENT SECURITIES

Malaysian Government Securities

Government Investment Issues

Treasury bills - Malaysian govt

Other Malaysian Government Securities

C.3 Type of Derivatives

Investment Class	Investment Type
Derivatives Ex	Futures
	Swap
	Option
	Others -Exchange Traded Derivatives (to specify)
Derivatives OTC	Forwards
	Swap
	Option
	Others -OTC Derivatives (to specify)

C.4 Type of Collective Investment Scheme

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



CIS - Aggregated

C.5 Type of Structured Product

Investment Type

Credit-linked notes

Equity-linked notes

Bond-linked notes

Index-linked notes

Currency-linked notes

Interest rate-linked notes

Commodity-linked notes

Structured warrants (listed instrument issued by
investment banks)

Structured Products - Others (to specify)

Structured Products - Aggregated

C.6 Investment Group for Fixed Income Securities

Investment Group

Debentures

Money Market Instrument

Malaysian Government Securities



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



APPENDIX E: Others

E.1 Rating Indicator

Rated/Unrated
Rated
Unrated

E.2 Type of underlying asset in Derivatives

Underlying Asset
Equities
Debentures
Interest Rate
Exchange Rate
Commodities
Index
Others

E.3 Group Profile of Unit Holders

Group of Profile
Bumiputera
Non-bumiputera
Foreigner

E.4 Audit Opinion

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



APPENDIX F: All Investment Value

FMC are required to report all the listed and unlisted securities as per the template.

For example, if FMC has the following investment;

Table 1: All investment

No.	Issuer/Counterparty Group	Name of Issuer/Counterparty	Investment (RM)
1	A	AA	500000
2	B	BA	300000
3	C	CA	200000
4	K	KA	175000
5	D	DA	150000
6	F	FA	125000
7	G	GA	85000
8	E	EA	25000
9	E	EB	25000
10	L	LA	23000
11	J	JA	15000
12	M	ME	11500
13	A	AB	10000
14	H	HB	10000
15	M	MD	9500
16	H	HD	9000
17	E	EC	7500
18	M	MC	6500
19	H	HE	5000
20	I	IA	5000
21	M	MB	1500
22	H	HA	1000
23	H	HC	500
24	M	MA	500
25	M	MF	500
Total Investment (RM)			17,010,000



APPENDIX G: Compliance Review Report

Rules	Components
Compliance ETF 1	Investment in OTC Derivatives of a Single Counter-Party
Compliance ETF 2	Investment in Units/Shares of a Single Collective Investment Scheme
Compliance ETF 3	Investment in Structured Products of a Single Counter-Party