### REGISTRATION CHECKLIST FOR DISCLOSURE DOCUMENT

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REGISTRATION OF DISCLOSURE DOCUMENT /SUPPLEMENTARY DISCLOSURE DOCUMENT /REPLACEMENT DISCLOSURE DOCUMENT

PRS Provider :

Name of Scheme and/Fund(s) :

Date of Submission :

| Requirements | | Compliance Check | | SC’s Remarks |
| --- | --- | --- | --- | --- |
|  |  | Check | Remarks |  |
| 1. | Cover letter, specifying -   * Application to register a disclosure document (DD); * Confirmation that–   1. a due diligence review has been conducted and verified that DD complies with the minimum disclosure requirements as stated under the *Guidelines on Private Retirement Scheme*;   2. the accompanying documents in the registration file are complete, signed and dated; and   3. all relevant conditions of approval to be complied with before issuance of DD have been met. |  |  |  |
| 2. | Registrable copies of the disclosure document (printers’ proof) ( two copies in each language) |  |  |  |
| 3. | Registration checklist |  |  |  |
| 4. | Fee checklist |  |  |  |
| 5. | Registration Fees   * In the form of a crossed cheque/draft order made in favour of “Suruhanjaya Sekuriti” or “Securities Commission”. |  |  |  |
| 6. | Compliance Schedule |  |  |  |
| 7. | Director’s/Adviser’s responsibility statement.   * For Advisers which are corporations, a board resolution authorising the signatory who signed on behalf of the corporation must be submitted. * If an alternate director signs on behalf of a director there must be clear reference made in the responsibility statement of such a fact. The original written authorisation by the director must be submitted. |  |  |  |
| 8. | Original copies of all letters of consent from person(s) named in the DD as having made a statement that is included in the DD or on which a statement made in the DD is based. |  |  |  |
| 9. | Copy of letter of approval from any other relevant authority (where applicable). |  |  |  |
| 10. | Certified copies of all material contracts referred to in the DD, or in the case of a contract not reduced in writing, a memorandum giving full particulars of that contract verified by an expert. |  |  |  |
| 11. | Original copies of reports or letters from experts disclosed in the DD (e.g. reporting accountants, tax advisers, etc.). |  |  |  |
| 12. | Letter of confirmation from the applicant, or its adviser (where applicable), confirming the true and accurate translation of the DD (where applicable); |  |  |  |
| 13. | Letter of confirmation from the applicant, or its adviser(where applicable), that the electronic copy of the DD will be identical to the DD registered with the SC (if applicable); |  |  |  |
| 14. | Copy of the application form. |  |  |  |
| 15. | For renewal of registration of a supplementary DD/ replacement DD:   * A list highlighting the original statements from the previously registered DD and the amended documents; and * Certified copies of additional, amended or new material contracts disclosed in the DD. In the case of contracts not reduced into writing, a memorandum which gives full particulars of the contracts (where applicable). |  |  |  |

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| ……………………………………….. | …………………………………………. |
| Name :  *(Person responsible for the submission documents)*  Date : | Name :  *(Chief Executive Officer of the PRS Provider*)  Date : |

|  |
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| For the SC’s Internal Use : |

**Submission of Documents**

Please tick relevant box:

Complete

Not complete

### If not complete, please state missing documents:

### ……………………………………………………………..…………………………………………………………………………………………………………………………………………

Date applicant informed of missing documents - ……………………..

Date of receipt of missing documents - ……………………..

……………………..

Name: *(Desk Officer)*

Date :

………………………………

Name : *(Supervisor)*

Date :

#### Registration

Please tick relevant box:

Approval

Refusal

If the DD is refused for registration, please state reasons:-

…………………………………………………………………………………………………………………………

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Name: *(Head of Department)*

Date :

Date of registration - ………………………