



Suruhanjaya Sekuriti
Securities Commission
Malaysia

THE PRS STATISTICAL AND INVESTMENT RETURNS
REPORTING MANUAL



DOCUMENT CONTROL

Version	Date	Author	Comments
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 Return and Investment Return (collectively referred to as “PRS Returns”).
- 1.2 All reports submitted to SC will be in the form of XBRL instance documents via the SC Common Reporting Platform (ComRep).
- 1.3 PRS Provider 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 PRS Provider shall report all funds managed by the company 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 ISO code 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 PRS Statistical and Investment report is defined by the following codes;



Code	Definition
FM03.M.PRS	PRS Statistical & Investment Report
FM16.M.PRS	Compliance Review Report - PRS

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

Report Name		Monthly Statistical and Investment Returns	Compliance Review Report – PRS
Report Number		5	21
Tab ID	Tab Description	FM03.M.PRS	FM16.M.PRS
000	Scoping Questions	000	000
010	Declaration	010.05	010.20
015	General Information	015.05	
020	Fund Overview	020.05	
030	Fund Managed by External FMC	030.05	
040	Number of Account	040.05	
045	Net Asset Value	045.05	
050	Unit In Circulation	050.05	
060	Fund Movement	060.05	
080	Fund Distribution	080.05	
090	Use of Brokers/Dealers	090.05	
100	Financial	100.05	
110	Financial - Others	110.05	
130	Trustee Information	130.05	
150	Investment - Deposits	150.05	
160	Investment - Equities	160.05	
170	Investment - Fixed Income Securities	170.05	
180	Investment - Derivatives	180.05	
190	Investment - Collective Investment Scheme	190.05	
200	Investment - Structured Products	200.05	
210	Investment - Others	210.05	
220	Compliance Review Report	220.05	
230	Investment - Real Estate	230.05	
260	Profile of Unit Holder	260.05	
950	Compliance Review Report - PRS		950.21



3.3 FM03.M.PRS comprises of the following tables;

010.05 - [01000] Declaration

Item	Definition
Reporting Period (dd/mm/yyyy)	The last calendar day of the reporting month. e.g. 31/03/2017
Private Retirement Scheme Provider Name	The PRS Provider name as per registered with SSM
Private Retirement Scheme Provider Company Registration Number	The PRS Provider registration number as per registered with SSM
Total Number Of Accounts	This item must be reported equivalent to the total number of accounts as reported in 020.05 – [02000] Fund Overview
Total Units In Circulation	This item must be reported equivalent to the total unit of the following items as reported in 020.05 – [02000] Fund Overview <ul style="list-style-type: none"> i) Units in Circulation – Sub Account A; ii) Units in Circulation – Sub Account B; and iii) Units in Circulation – Conditionally Vested
Total Sales Volume (unit)	This item must be reported equivalent to the total sales volume for all distribution channels as reported in 060.05 – [06000] Fund Movement
Total Redemption Volume (unit)	This item must be reported equivalent to the total repurchases volume for all distribution channels as reported in 060.05 – [06000] Fund Movement
Total Net Asset Value (RM)	This item must be reported equivalent to the total net asset value of the following items as reported in 020.05 – [02000] Fund Overview <ul style="list-style-type: none"> i) Net Asset Value – Sub Account A; ii) Net Asset Value – Sub Account B; and iii) Net Asset Value – Conditionally Vested
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



015.05 - [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.

Item	Definition
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 Appendix E.3
Financial Year End (dd/mm/yyyy)	The financial year end date of the fund. e.g. 31/12/2017

***1000.01 - [01060] Fund Information***

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

**130.05 - [01100] Trustee Information**

Item	Definition
Fund Code	Please provide the fund code as provided
Trustee Name	The trustee's company name as per registered with SSM
Trustee Registration Number	The trustee's company registration number 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



020.05 - [02000] Fund Overview

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
Number of Accounts	The total of this item must be reported equivalent to the total number of account for all distribution channels as reported in 040.05 – [04000] Number of Account
Net Asset Value (RM)	The total of this item must be reported equivalent to the total net asset value for all distribution channels as reported in 045.05 – [04500] Net Asset Value
Units In Circulation	Refers to units created and fully paid. The total of this item must be reported equivalent to the total unit in circulation for all distribution channels as reported in 050.05 – [05000] Units in Circulation
Sub Account A	Refers to sub account type A
Sub Account B	Refers to sub account type B
Conditionally Vested	Refers to the entitlement to the unit that is conditional upon fulfilment of condition(s) stipulated in a vesting schedule



030.05 - [03000] Fund Managed by External Fund Management Company (FMC)

Item	Definition
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	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 Appendix A.2
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

040.05 - [04000] Number of Accounts



Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
PRS Provider - Direct	Refers to number of accounts that is distributed by direct employer of PRS Provider
PRS Provider - Agent	Refers to number of accounts that is distributed by agent of the PRS Provider
IPRSA – Bank; and IPRSA – Others	Refers to number of accounts that is distributed by IPRSA members
CPRSA	Refers to number of accounts that is distributed by CPRSA
Others	Refers to number of accounts that is distributed by other channels besides above mentioned



045.05 - [04500] Net Asset Value

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
PRS Account Type <dropdown>	Please choose either 'Sub Account A', 'Sub Account B' or 'Conditionally Vested'
PRS Provider - Direct	Refers to net asset value of investment that is distributed by direct employer of PRS Provider
PRS Provider - Agent	Refers to net asset value of investment that is distributed by agent who is approved and recognized by PRS Provider
IPRSA – Bank; and IPRSA – Others	Refers to net asset value of investment that is distributed by IPRSA members
CPRSA	Refers to net asset value of investment that is distributed by CPRSA
Others	Refers to net asset value of investment that is distributed by other channels besides mentioned above
Manager's Box	Refers to the net asset value of the units in Manager`s Box.



050.05 - [05000] Units in Circulation

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
PRS Account Type <dropdown>	Please choose either 'Sub Account A', 'Sub Account B' or 'Conditionally Vested'
PRS Provider - Direct	Refers to units in circulation that is distributed by direct employer of PRS Provider
PRS Provider - Agent	Refers to units in circulation that is distributed by agent who is approved and recognized by PRS Provider
IPRSA – Bank; and IPRSA – Others	Refers to units in circulation that is distributed by IPRSA members
CPRSA	Refers to units in circulation that is distributed by CPRSA
Others	Refers to units in circulation that is distributed by other channels besides mentioned above
Manager's Box - Matched Sales	Refers to units created to meet confirmed requests for units
Manager's Box - Units Held by Manager	Refers to 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



060.05 - [06000] Fund Movement

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
Sales	Refers to sales transactions
Redemption	Refers to redemption of the fund
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 the direct employer of PRS Provider
PRS Agent	Refers to sales and redemption transactions that are conducted by approved agent of PRS Provider
IPRSA – Bank IPRSA – Others	Refers to sales and redemption transactions that are conducted through IPRSA members
CPRSA	Refers to sales and redemption transactions that are conducted through CPRSA
Others	Refers to sales and redemption transactions that are conducted through other channels besides above mentioned



065.05 - [06100] Fund Movement by Transaction Type

Item	Definition
Fund Code	Please provide the fund code as provided
Fund Class	Please provide the class name. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
Currency Class <dropdown>	Please choose the currency of the class 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
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 PRS Provider. 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 PRS Provider. This item is reported by Fund A as the disposing end



090.05 - [07000] Use of Brokers/Dealers (Top 10)

- 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) PRS Provider is required to provide information at minimum, top 10 brokers/dealers used by the PRS Provider 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.

Item	Definition
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
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



080.05 - [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. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
Currency Class <dropdown>	Please choose the currency class of the fund based on the ISO code provided - refer Appendix A.1
EX-Date (dd/mm/yyyy)	Please provide the effective 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



100.05 - [09000] 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

Item	Definition
Fund Code	Please provide the fund code as provided
Item <dropdown>	Please choose the related financial items – refer Appendix B
Country <dropdown>	Please choose the country where the investment were made – refer Appendix A.2
Value (RM)	Please provide the market value of financial item denominated in Ringgit Malaysia (RM) for the reporting month

**110.05 - [09100] Financial – Other Receivables/Liabilities**

Item	Definition
Fund Code	Please provide the fund code as provided
Description of other receivables / liabilities	Please provide description of other receivables / liabilities if it is selected in 100.05 - [09000] Financial
Other Receivables - Value (RM)	The value of this item must be reported equivalent to the value of 'Other receivables' in 100.05 - [09000] Financial
Other Liabilities - Value (RM)	The value of this item must be reported equivalent to the value of 'Other liabilities' in 100.05 - [09000] Financial



For reporting of investments,

PRS Provider must provide full investment book value disclosure in accordance to the table below:

Disclosure Requirements

Compliance	Components	Disclosure Requirements
C2A	Investment in Ordinary Shares of a Single Issuer	Breakdown of full investment value
C2B	Investment in Transferable Securities and Money Market Instruments of a Single Issuer	Breakdown of full investment value
C2C	Placement of Deposits with a Single Institution (this includes current and savings account)	Breakdown of full investment value
C2D	Investments in OTC Derivative of a Single Counter-Party	Breakdown of full investment value
C2E	Investments in Structured Product of a Single Counter-Party	Breakdown of full investment value
C2F	Aggregate Investments in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution	Breakdown of full investment value
C2G	Investment in Units/Shares of a Single Collective Investment Scheme	Breakdown of full investment value
C2H	Investments in Transferable Securities and Money Market Instrument of a Group of Companies	Breakdown of full investment value
C3A	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
C3B	Concentration of Investment in Debentures issued by a Single Issuer	Breakdown of full investment value of debentures issued by a single issuer
C3C	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
C3D	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
C4	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



C5	Investment in Permitted Investments of a Cash Management Fund	Breakdown of full investment value for each permitted investment
C6	Investment in Real Estate	All investment
C8	Holding of Permitted Investments for a Capital Protected Fund	Investment value for all the fund's investments
C9	Investment of Core (Conservative) Fund into Debentures/Fixed Income Instruments which are rated below BBB3/P2 by RAM (or equivalent rating by MARC) and/or are Unrated	All investment



150.05 - [10100] Investment – Deposits

- 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
Product ISIN Code	The 12-character product ISIN where one exists, at trading and settlement. E.g. MYL1234O1234, if any
Investment Type <dropdown>	Please choose the investment type in deposits related to each fund– refer Appendix C.1 .
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 Appendix A.2
Currency of Placement <dropdown>	Please choose the currency of placement based on the ISO code provided - refer Appendix A.1
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



160.05 - [10200] 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.
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 is either `Listed` or `Unlisted` from the dropdown option
Investment Type <dropdown>	Please choose the investment type of equities related – refer Appendix C.2
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown `Equities - Others` and/or `Hybrid – Others` is chosen. Otherwise, please leave it blank.
Listed Shares - Exchange	Please choose the exchange for listed shares 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



170.05 - [10300] Debentures/Government Securities/Money Market

Instruments

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

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 of the investment as per Appendix C.7
Investment Type <dropdown>	Please choose the investment type in each investment group as per Appendix C.3
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.
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
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 Appendix E.1



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 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



180.05 - [10400] 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
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 product, if applicable e.g. AAA, AA, B
Comply with the minimum credit rating requirement as specified in the respective guideline	Please choose 'Yes', 'No', or 'Not Applicable' – refer Appendix E.1
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.4
Other Investment Type (please specify)	Please provide the description of other investment type only if dropdown `Derivatives - Others` is chosen `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. Otherwise, please leave it blank.
Exchange	Please provide the exchange name, if applicable as per Appendix D
Country of Counterparty/Exchange <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



190.05 - [10500] 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
CIS 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 Appendix C.5
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



200.05 - [10600] 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 Appendix C.6
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' – refer Appendix E.1
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



230.05 – [10700] Investment – Real Estate

- a) PRS Provider is required to report all investment in real estate.

Item	Definition
Fund Code	Please provide the fund code as provided
Name of real estate	Please provide the full name of the real estate
Location (state)	Please provide the state where the real estate is located in
Country <dropdown>	The country of where real estate is located in. Please choose the country based on the Country name provided – Refer Appendix A.2
Type of Building	Please provide the type of building of the real estate
Date of Acquisition (dd/mm/yyyy)	Please provide the acquisition date of the real estate
Acquisition price (RM)	Please provide the acquisition price of the real estate
Date of Latest Valuation (dd/mm/yyyy)	Please provide the latest valuation date of the real estate
Investment value (RM)	Please provide the value as of latest valuation



210.05 – [10900] Other Investment

- a) PRS Provider 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 securities



260.05 - [12000] Profile of Unit Holder (Annually) - Calendar Year End 31

December

- a) PRS Provider 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
Fund Class	Please provide the specific class assigned to the fund. e.g. If Scheme XYZ has Class A, please fill in 'A' in the provided space
Category of Unit Holders <dropdown>	Please choose the category of unit holders whether the unit holders are categorized as 'Members with default option' or 'Members without default option'
Value (RM)	Please provide the total value of investments by each category of unit holders for the reporting month
Number of accounts	The total number of accounts of each category of unit holders for the reporting month
Number of unit held	The total number of units held by each category of unit holders for the reporting month
Manager Box	The total 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



3.4 **FM16.M.PRS** 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 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
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

950.21 - [02000] Compliance Review Report - PRS



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	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
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	FM03.M.PRS
Deposits	✓
Equities	✓
Debentures	✓
Government Securities	✓
Money Market Instruments	✓
Derivatives	✓
Collective Investment Scheme	✓
Structured Products	✓
Real Estate	✓
Other Investment	✓
Cash at bank	✓
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	✓

APPENDIX C: Investment Type



C.1 Type of Deposit

Investment type
Fixed Deposit
Islamic Fixed Deposit
Money Market Deposit
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
<u>DEBENTURES</u>
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
Debentures - Others (to specify)
Debentures – Aggregated
<u>MONEY MARKET INSTRUMENTS</u>
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)
Money Market – Aggregated
General Investment Account
<u>GOVERNMENT SECURITIES</u>
Malaysian Government Securities
Government Investment Issues
Treasury bills - Malaysian govt
Malaysian Government Securities – Others (please specify)
Malaysian Government Securities – Aggregated

C.4 Type of Derivatives

Investment Type
Futures
Swap
Option
Forwards
Derivatives – Others (please specify)



Derivatives – Aggregated

C.5 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.6 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.7 Investment Group for Fixed Income Securities

Investment Group
Debentures
Money Market
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
Borsa Italiana	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 Compliance on rating

Comply with the minimum credit rating requirement if single issuer limit exceed, as specified in the respective guideline / Comply with the minimum credit rating requirement as specified in the respective guideline (for Derivatives)

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 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: 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

C2C – Full investment value of deposits of a single issuer

C2F – Full investment value of Deposits portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

C5 – Full investment value of Deposits portion in Permitted Investments of a *Cash Management 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)	C2C	C2F
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
TOTAL INVESTMENT IN DEPOSIT (RM)					55,500,000		



F.2 Disclosure Requirement - Equities

Investment – Equities

C2A - Full investment value of Ordinary Shares of a Single Issuer

C2B – Full investment value of Equities & Warrant portion in Transferable Securities and Money Market Instruments of a Single Issuer

C2F – Full investment value of Equities & Warrant portion in Transferable Securities, Money Market instruments, Deposits, OTC derivatives and Structured Products of a Single Issuer/Institution

C2H – Full investment value of Equities & Warrant portion in Transferable Securities and Money Market Instrument of a Group of Companies

C3A - Full investment value of Investment in Equities or Warrants of a Single Issuer (securities held by fund / securities in issue)

C4 - 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)	C2A	C2B	C2F	C2H	C3A	4C
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		Full Investment Value	
I3	I Group	Listed	Ordinary Shares	100,000	9,000	11,000,000	Full Investment Value	Full Investment Value		Full Investment Value	Full Investment Value	
F3	F Group	Listed	Ordinary Shares	200,000	600	10,500,000	Full Investment Value	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 Investment Value	Full Investment Value	Full Investment Value	
K3	K Group	Listed	Ordinary Shares	140,000	7,000	9,000,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
F4	F Group	Listed	Ordinary Shares	230,000	400	8,000,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value		
O3	O Group	Listed	Ordinary Shares	100,000	6,000	6,000,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
B3	B Group	Listed	Ordinary Shares	110,000	5,000	3,500,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
H3	H Group	Listed	Ordinary Shares	200,000	300	2,500,000	Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value		
J3	J Group	Listed	Equities linked investments - Warrants (issued by PLC)	130,000	4,000	2,000,000		Full Investment Value	Full Investment Value	Full Investment Value	Full Investment Value	
D3	D Group	Listed	Ordinary Shares	100,000	3,000	1,750,000			Full Investment Value	Full Investment Value	Full Investment Value	
M3	M Group	Listed	Ordinary Shares	90,000	2,000	1,700,000				Full Investment Value	Full Investment Value	
D3	D Group	Listed	Ordinary Shares	80,000	2,000	150,000					Full Investment Value	
D4	D Group	Unlisted	Preference shares	300,000	500	50,000						All
TOTAL INVESTMENT IN EQUITIES (RM)						92,650,000						



F.3 Disclosure Requirement – Fixed Income Securities

Investment – Fixed Income Securities

C2B – Full investment value of Debentures & Money Market Instruments (MMI) portion in Transferable Securities and Money Market Instruments of a Single Issuer

C2F – 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

C2H - Full investment value of Debentures & Money Market Instruments (MMI) portion in Transferable Securities and Money Market Instrument of a Group of Companies

C3B - Full investment value of Investment in Debentures of a Single Issuer (securities held by fund / securities in issue)

C3C - Full investment value of Money Market Instruments (MMI) of a Single Issuer (securities held by fund / securities in issue)

C4 - All investment in Unlisted Securities

C5 – Full investment value of Debentures & Money Market Instruments (MMI) portion in Permitted Investments of a *Cash Management Fund*

C9 – All investment of *Core(Conservative) Fund* which are rated below BBB3/P2 by RAM (or equivalent rating by MARC) and/or are Unrated



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)	C2B	C2F	C2H	C3B	C3C
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				0					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
TOTAL INVESTMENT IN FIXED INCOME SECURITIES (RM)							24,000,000						



F.4 Disclosure Requirement – Derivatives

Investment – Derivatives

C2D - Full investment value of OTC Derivative of a Single Counter-Party

C2F – 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)	C2D	C2F
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
TOTAL INVESTMENT IN DERIVATIVES (RM)				19,600,000		



F.5 Disclosure Requirement – Collective Investment Scheme

Investment – Collective Investment Scheme

C2G - Full investment value of Units/Shares of a Single Collective Investment Scheme

C3D – Full investment value of Collective Investment Scheme of a Single Issuer (securities held by fund / securities in issue)

C8 – All investment of Core Funds into One or More Collective Investment Schemes of the same PRS Provider

Example:

Name of Issuer	Name of Collective Investment Scheme Product	Investment Type	Securities in Issue (Unit)	Securities held by fund (Unit)	Investment Value (RM)	C2D	C3D
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
TOTAL INVESTMENT IN COLLECTIVE INVESTMENT SCHEME (RM)					53,150,000		



F.6 Disclosure Requirement – Structured Products

Investment – Structured Products

C2E - Full investment value of Structured Product of a Single Counter-Party

C2F – 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)	C2E	C2F
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	Structures 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
TOTAL INVESTMENT IN STRUCTURED PRODUCT (RM)				16,180,000		



APPENDIX G: Compliance Review Report

Rules	Components
C1	Manager`s Box
C2A	Investment in Ordinary Shares of a Single Issuer
C2B	Investment in Transferable Securities and Money Market Instruments of a Single Issuer
C2C	Placement of Deposits with a Single Institution (this includes current and savings account)
C2D	Investments in OTC Derivative of a Single Counter-Party
C2E	Investments in Structured Product of a Single Counter-Party/Institution
C2F	Aggregate Investments of a Single Issuer/Institution
C2G	Investment in Units/Shares of a Single Collective Investment Scheme
C2H	Investments in Transferable Securities and Money Market Instrument of a Group of Companies
C3A	Concentration of Investment in transferable securities (other than debentures) issued by a Single Issuer
C3B	Concentration of Investment in Debentures by a Single Issuer
C3C	Concentration of Investment in Money Market Instruments by a Single Issuer
C3D	Concentration of Investment in Collective Investment Scheme in any one collective investment scheme
C4	Investment in Unlisted Securities, units/shares in leveraged and/or inverse ETFs
C5	Investment in Permitted Investments of a Cash Management Fund
C6	Investment in Real Estate
C7	Use of Brokers/Dealers
C8	Investment of Core Funds into One or More Collective Investment Schemes of the same PRS Provider
C9	Investment of Core (Conservative) Fund into Debentures/Fixed Income Instruments which are rated below BBB3/P2 by RAM (or equivalent rating by MARC) and/or are Unrated