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**LODGEMENT CHECKLIST**

**- PROSPECTUS**

LODGEMENT OF PROSPECTUS/SUPPLEMENTARY PROSPECTUS/REPLACEMENT PROSPECTUS\*

|  |  |  |
| --- | --- | --- |
| Management Company/Operator\* | : |  |
| Fund(s) | : |  |
| Adviser | : |  |
| Date of Registration | : |  |
| Date of Prospectus | : |  |

| Requirements | | Compliance Check | | SC’s Remarks |
| --- | --- | --- | --- | --- |
|  |  | Check | Remarks |  |
| 1. | Cover letter, setting out:   * Intention to lodge the prospectus; * Declaration that the copy of the prospectus-  1. lodged with the SC is identical to the prospectus registered by the SC; and 2. in CD-ROM is identical to the printed prospectus.   *The cover letter must be signed by a director of the management company or two authorised signatories of the adviser.* |  |  |  |
| 2. | Two (2) printed copies of the prospectus and its application form (where applicable, in each language). |  |  |  |
| 3. | CD-ROM containing the prospectus in text-searchable format (PDF-text), labeled with a description of the content and date of lodgement (where applicable, in each language). |  |  |  |
| 4. | * Fee Computation Checklist * Payment made to ‘Suruhanjaya Sekuriti’ or ‘Securities Commission’ |  |  |  |

*\* To delete whichever is not applicable*

*Version Issued - November 2017*

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|  |  |
| --- | --- |
| ……………………………………….. | …………………………………………. |
| Chief Executive Officer[[1]](#footnote-1) of the  Management Company  Name:  Management Company:  Date: | Authorised Signatory of the Adviser[[2]](#footnote-2)  Name  Designation:  Company:  Date: |
| For SC’s Internal Use: | | |

**Submission of Documents**

Please tick relevant box:

Complete

Not complete

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

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

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

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

##### Officer

……………………..

Name:

Date:

##### Supervisor

………………………………

Name:

Date:

*(Desk Officer)*

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1. Where there is no Chief Executive Officer, the person who assumes the role and function of a Chief Executive Officer. [↑](#footnote-ref-1)
2. Where the application is submitted through an adviser. [↑](#footnote-ref-2)