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| **FORMS IN RELATION TO WHOLESALE FUND (WF FORMS)** |

**Introduction & Instructions:**

***Introduction***

1. This document contains WF Forms to be submitted to the Securities Commission Malaysia (SC) in relation to a wholesale fund seeking qualification as a sustainable and responsible investment (SRI) fund or relief from complying with the requirements of the *Guidelines on Unlisted Capital Market Products under the Lodge and Launch Framework* (UCMP Guidelines) or submission of annual report of a wholesale fund. These WF Forms are as follows:

***Contents***

[SECTION A: APPLICATION TO QUALIFY AS AN SRI FUND A-1](#_Toc106354060)

[SECTION B: APPLICATION FOR RELIEF FROM COMPLYING WITH REQUIREMENTS B-1](#_Toc106354061)

[SECTION C: SUBMISSION OF ANNUAL REPORT OF A FUND C-1](#_Toc106354062)

***General instructions (apply to all submissions)***

1. Please read the instructions and questions carefully before completing the form.
2. The submission of the WF Forms must be **accompanied by a cover letter that meets the following requirements**:
3. It is addressed to person as mentioned in item 8) of these Introduction & Instructions;
4. Contains –
   1. information as specified in the respective section(s) of these WF Forms;
   2. a declaration that the information in the cover letter and in the WF Forms being submitted to the SC is true, complete and accurate;
   3. details of **at least two (2) contact persons**, as follows:
5. Name;
6. Designation;
7. Contact number; and
8. Email address;
   1. details on any pre-consultation with the SC in connection with the submission being submitted, as follows:
9. Date of consultation;
10. Details of consultation; and
11. Details of persons from the SC that the submitting party had consulted with;
    1. if there is any other outstanding applications relating to the fund with the SC, details of such application, as follows:
12. Date of application(s); and
13. Details of the application(s);
14. The cover letter must be dated and is signed by –
    1. at least one (1) of the directors of the fund management company; or
    2. two (2) authorised signatories of the advisers (where an adviser is appointed to make the submission); and
15. If the submission file comprise of more than one (1) type of applications or submissions, please submit **only one (1) cover letter** specifying all the applications or submissions being submitted together with the information as required in item 3)(b)(i) of these Introduction & Instructions.
16. Please **only submit** the section(s) or part(s) of the section(s) of these WF Forms that applies/apply to the submission.
17. All applications must be accompanied with the appropriate fee, where applicable. The details of fees payable to the SC for the various types of submissions are set out in the *Capital Markets and Services (Fees) Regulations 2012* as may be amended from time to time. A submission is deemed incomplete if the appropriate fee is not submitted.
18. All submission documents must be **text-searchable format (PDF-text)**.
19. The submission documents must be submitted via e-mail to [**MISsubmissions@seccom.com.my**](mailto:MISsubmissions@seccom.com.my), up to 30MB in size per e-mail.
20. Submission must be addressed to the SC as follows:
21. Where the submission file contains application for the SC’s approval:

Chairman

Securities Commission Malaysia

3 Persiaran Bukit Kiara

Bukit Kiara

50490 Kuala Lumpur

(Attention: Managed Investment Schemes, Corporate Finance and Investments)

1. Where the submission file only contains **submission of** **annual report of a fund**:

Head of Department

Managed Investment Schemes

Corporate Finance and Investments

Securities Commission Malaysia

3 Persiaran Bukit Kiara

Bukit Kiara

50490 Kuala Lumpur

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# APPLICATION TO QUALIFY AS AN SRI FUND

**Documents required to be submitted to the SC**

| **Documents** | **SC’s internal use** |
| --- | --- |
| Checklist of compliance with the relevant chapters of the *Guidelines on Sustainable and Responsible Investment Funds* (SRI Guidelines), including commentary on whether the requirements are met, not met or not applicable, detailed illustration, explanation and justifications thereof, with reference to the Guidance in the SRI Guidelines where appropriate |  |
| Draft information memorandum or disclosure document |  |
| Draft product highlights sheet (where applicable) |  |
| For an existing fund  Cover letter –  as prescribed under chapter 4 of the SRI Guidelines; and  contains information as required in item 3) of the General instructions in these WF Forms |  |

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# APPLICATION FOR RELIEF FROM COMPLYING WITH REQUIREMENTS

**Documents required to be submitted to the SC**

| **Documents** | | **SC’s internal use** |
| --- | --- | --- |
| Cover letter, specifying the following: | |  |
|  | The requirement of the guidelines being sought for a relief |  |
|  | Details of the relief sought |  |
|  | Justifications for the relief sought |  |
|  | Information as required in item 3) of the General instructions in these WF Forms |  |
| Where applicable, statement from the trustee that the relief does not jeopardise unit holders’ interest | |  |
| Approval or clearance letter from other authorities | |  |
| Application fee and the Fee Computation Checklist | |  |

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# SUBMISSION OF ANNUAL REPORT OF A FUND

**Documents required to be submitted to the SC**

|  |  |  |
| --- | --- | --- |
| **Documents** | | **SC’s internal use** |
| Cover letter, specifying the following: | |  |
|  | The submission of an annual report of a fund with the SC |  |
|  | Information as required in item 3) of the General instructions in these WF Forms |  |

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