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| --- |
| **FORMS IN RELATION TO PRIVATE RETIREMENT SCHEME (PRS FORMS)** |

**Introduction & Instructions:**

***Introduction***

1. This document contains PRS Forms to be submitted to the Securities Commission Malaysia (**SC**) in relation to a private retirement scheme (**Scheme**), including PRS funds. These PRS Forms comprise the following:

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

1. Please read the instructions and questions carefully before completing the form. Unless otherwise specified, all words used in these PRS Forms, shall have the meaning assigned to them in the –
2. *Capital Markets and Services Act 2007* (**CMSA**);
3. *Capital Markets and Services (Private Retirement Scheme Industry) Regulations 2012* (**PRS Regulations**); and
4. *Guidelines on Private Retirement Schemes* (**PRS Guidelines**).
5. The submission of the PRS Forms must be **accompanied by a cover letter that meets the following requirements**:
6. It is addressed to person as mentioned in item 9) of these Introduction & Instructions;
7. Contains –
   1. information as specified in the respective section(s) of these PRS Forms;
   2. a declaration that the information in the cover letter and in the PRS Forms being submitted to the SC is true, complete and accurate;
   3. details of **at least two (2) contact persons**, as follows:
8. Name;
9. Designation;
10. Contact number; and
11. Email address;
    1. details on any pre-consultation with the SC in connection with the submission being submitted, as follows:
12. Date of consultation;
13. Details of consultation; and
14. Details of persons from the SC that the submitting party had consulted with;
    1. if there is any other outstanding applications relating to the PRS or any of the PRS funds with the SC, details of such application, as follows:
15. Date of application(s); and
16. Details of the application(s);
17. It must be dated and is signed by –
    1. at least one (1) of the directors of the PRS Provider; or
    2. two (2) authorised signatories of the advisers (where an adviser is appointed to make the submission); or
    3. at least one (1) of the authorised signatories of the Scheme Trustee (for submission by the Scheme Trustee); and
18. 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.
19. **If the submission file to be submitted by the PRS Provider or the adviser includes a letter from the Scheme Trustee, the letter from the Scheme Trustee must contain information as required in item 3(b) and fulfil the requirement in item 3(c)(iii) of these Introduction & Instructions.**
20. Please **only submit** the section(s) or part(s) of the section(s) of these PRS Forms that applies/apply to the submission, and **do not** –
21. submit pages 1 to 5 of these PRS Forms; or
22. alter the contents, or insert any text, image or table in any parts of these PRS Forms **other than in the fields provided**.
23. All applications and lodgements 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 (Private Retirement Scheme Industry) (Fees) Regulations 2012* as may be amended from time to time. A submission is deemed incomplete if the appropriate fee is not submitted.
24. All submission documents must be in electronic copy and in **text-searchable format (PDF-text)**.
25. The submission documents must be submitted via e-mail (as attachment), up to 30MB in size per e-mail, to [**MISsubmissions@seccom.com.my**](mailto:MISsubmissions@seccom.com.my). Link or QR code to an external storage **will not be accepted**.
26. Submission must be addressed to the SC as follows:
27. Where the submission file contains application for the SC’s authorisation, approval and registration:

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 **lodgement of, or submission of** **documents or notification**:

Head of Department

Managed Investment Schemes

Corporate Finance and Investments

Securities Commission Malaysia

3 Persiaran Bukit Kiara

Bukit Kiara

50490 Kuala Lumpur

***Submission-specific instructions***

1. **Section A**:

Submission of application for an establishment of a new PRS must be accompanied by application for authorisation of core funds and, if any, non-core fund(s).

1. **Section B**:
2. **Part A & Part B**:

Please submit these Parts for each fund where authorisation is being sought.

1. **Part C & Part D**:

* These Parts are only required to be submitted as part of application for authorisation of non-core fund(s) that is/are to be added to an **existing Scheme**.
* Where the submission file consists of application for authorisation of more than one (1) non-core funds, only **one (1) copy of these Parts** is required to be submitted.

1. **Section E – Part A**:
   1. Please state how the requirement has been complied with by referencing to the specific clause and page of the deed(s).
   2. Where the requirement is not applicable, please state the reason.
2. **Section G – Parts A and B**:
3. Where “Yes” is indicated, please state how the requirement has been complied with by referencing to the specific page and paragraph of the disclosure document.
4. Where the requirement is not applicable, please state the reason.
5. **Section L**:

If a fund, be it an existing fund or a proposed fund, intends to invest in new or higher risk investments as listed in **Part B of Section L**, the documentation on risk management policy and procedures (**RMP documentation**) must be submitted as part of the fund application or in the case of existing fund, before any changes are to be affected to the fund documentation. Please refer to **Section L** for documents and information required to be submitted to the SC.

***Note:*** *PRS Providers* ***should consult the SC prior to*** *making the submission of the RMP documentation.*

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# APPLICATION FOR ESTABLISHMENT OF A NEW SCHEME

## General information of the Scheme

|  |  |
| --- | --- |
| Name of Scheme | Click or tap here to enter text. |
| Number of proposed funds under the Scheme | Click or tap here to enter text. |
| Name of funds under the Scheme | Core funds   * Click or tap here to enter text. * Click or tap here to enter text. * Click or tap here to enter text.   Non-core fund(s)  Click or tap here to enter text. |

## Information on parties in the PRS

|  |  |
| --- | --- |
| Name of PRS Provider | Click or tap here to enter text. |
| Name of Scheme Trustee | Click or tap here to enter text. |
| Name of Shariah adviser (if applicable) | Click or tap here to enter text. |

## Documents required to be submitted to the SC

| **Documents** | | **SC’s**  **internal use** |
| --- | --- | --- |
| Cover letter, specifying the following: | |  |
|  | Application to approve a Scheme and authorisation of funds under a Scheme |  |
|  | Details of other approvals or clearance obtained or pending |  |
|  | Details of any departure from the relevant guidelines, together with relevant justifications and waiver or exemption sought for such departure. Where waiver or exemption has been obtained, to provide details of such waiver or exemption |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| Section B – Parts A & B of these PRS Forms, **for each fund** named in Part A of this Section | |  |
| Application fee and Fee Computation Checklist | |  |
| Deed  Application to register a deed (see Section E)  Lodgement of a deed (see Section F) | |  |
| Disclosure document  Application to register a disclosure document (see Section G) | |  |
| Other application and submission | |  |
|  | Application to qualify as an SRI fund (see Section C)\* |  |
|  | Application for exemption or variation from compliance with the SC’s requirements (see Section D) |  |
|  | Notification on appointment of Shariah adviser (see Part B, Section K) |  |
|  | Notification on appointment of an external fund manager (see Part C, Section K)^ |  |
|  | RMP documentation of a fund (see Section L)# |  |
|  | If the fund is a **feeder fund**, the prospectus of the target fund named in Part B – Appendix III of Section B\* |  |
| *Notes:*   1. *Please* ✓ *all the applicable applications and submissions* 2. *For items marked with “\*”, please submit the applicable form* ***for each fund*** 3. *For item marked with “^”, please submit the applicable form* ***for each external fund manager*** 4. *For item marked with “#”, a single form may be submitted if only one (1) RMP documentation is prepared (see Guidance to paragraph 3.18(k) of the PRS Guidelines)* | |  |

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# APPLICATION FOR AUTHORISATION OF A FUND

## Information on the fund

|  |  |
| --- | --- |
| **Core fund** | **Non-core fund** |
| Conservative |  |
| Moderate |  |
| Growth |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Name of the fund:  **Click or tap here to enter text.** | | | |
|  | In the case of a **non-core fund**, if the name of the fund is not self-explanatory, please provide an explanation on the fund’s name:  Click or tap here to enter text. | | | |
|  | In the case of a **fund other than a Core-Conservative, Core-Moderate or Core-Growth** (i.e. a fund referred to in paragraph 7.11 of the PRS Guidelines), please select the applicable **fund category** of the fund from the list below:  Equity fund  Bond/fixed income (**FI**) fund (other than a country-specific government bond/FI fund)  Bond/FI fund (country-specific government bond/FI fund)  Balanced fund  Mixed assets fund  Cash management fund  Fund-of-funds\*  Feeder fund\*  Index fund\*  Other[[1]](#footnote-1): Click or tap here to enter text. | | | |
|  | If the selected fund category in item 3 is marked with an asterisk (\*), please select the applicable sub-category of the fund from the list below:  Equity fund  Bond/FI fund  Balanced fund  Mixed assets fund  Real estate or REIT[[2]](#footnote-2) | | | |
|  | Please select from the following, the applicable investment focus of the fund and the information relating to the investment strategy (if applicable):   1. Geographically focused   Global mandate  Regional-specific mandate (e.g. ASEAN, Asia-Pacific, Europe) – Please state the name of the region(s):  Click or tap here to enter text.  Market-specific mandate (e.g. developed or emerging markets) – Please state the name of the country(s):  Click or tap here to enter text.  Country-specific mandate[[3]](#footnote-3) (this may be a single country or specific countries) – Please state the name of the country(s):  Click or tap here to enter text.   1. Sector or industry-specific focused   Click or tap here to enter text.   1. Theme-specific focused   Click or tap here to enter text.  ***Note:*** *The investment focus does not need to be restricted to just one (1). If (a), (b) and (c) apply, please provide the information required for each of these items. An example of a fund where all three (3) types of investment focus apply is an Asia-Pacific equity fund that will invest in equities of companies that manufacture solar panels or parts for clean energy providers. In this example, Asia-Pacific will be provided in (a), manufacturing will be provided in (b) and clean or renewable energy can be provided in (c).* | | | |
|  | Please select from the following, information that may apply to the fund: | | | |
| 1. Investment in derivatives (other than for the sole purpose of hedging) | | |  |
| 1. Investment in warrants and convertibles other than those which are capable of being converted into new shares | | |  |
| 1. Investment in transferable securities or money market instruments with embedded derivatives | | |  |
| 1. Investment in investment accounts (other than investment accounts that are money market instruments) | | |  |
| 1. Investment in digital assets | | |  |
| 1. Investment in other securities as described in Chapter 8 of the PRS Guidelines, but besides instruments mentioned in (d) and (e) of this item – Please state such other securities: Click or tap here to enter text. | | |  |
| 1. Undertake securities lending activity | | |  |
| 1. Undertake sale and repurchase transactions | | |  |
| 1. Undertake reverse repurchase transactions | | |  |
| 1. The fund is a cash management fund | | |  |
| 1. The above **do not** apply to the fund | | |  |
| If (a), (e), (g), (h) or (i) is ticked, please select the applicable statement from the following: | | | |
|  | Section L of the PRS Forms is submitted together with this application[[4]](#footnote-4) | | |
|  | RMP Documentation submitted to the SC on Click or tap to enter a date. is applicable and no update is required | | |
|  | If the fund may use or invest in derivatives (including embedded derivatives), please provide information on the following: | | | |
| 1. The **purpose** of using the derivatives (please tick all the applicable boxes) including the **type of derivatives or embedded derivatives**[[5]](#footnote-5) to be used: | | | |
|  | | Hedging   1. Please state the risk(s) to be hedged:   Click or tap here to enter text.  (ii) Please state the derivatives or embedded derivatives to be used to hedge the risk(s) listed in (i):  Click or tap here to enter text. | |
|  | | Others   1. Please provide details:   Click or tap here to enter text.  (ii) Please state the derivatives or embedded derivatives to be used for purpose(s) listed in (i):  Click or tap here to enter text. | |
| 1. Information on exposure to derivatives: 2. The fund’s maximum % exposure to derivatives: Click or tap here to enter text. 3. If the method used to calculate the exposure is other than commitment approach, please indicate the section in the cover letter the information on the consultation with the SC   Click or tap here to enter text. | | | |
|  | If the redemption payment period may exceed seven (7) business days, please answer the following questions:   1. The maximum redemption payment period for the fund or each class(es) of units of the fund:   Click or tap here to enter text.     1. The reason(s) for the extended redemption payment period:   Click or tap here to enter text.  ***Note:*** *For the purpose of (b), please provide (in an attachment) the processing timeline (including the process flow) to support the reason for the extended redemption payment period.*   1. The section in the disclosure document that discloses the information on the fund’s redemption payment policy. If the fund is a feeder fund, to also indicate the section which discloses the target fund’s redemption policy:  * Paragraph(s): Click or tap here to enter text. * Page number(s): Click or tap here to enter text. | | | |
|  | If the fund does not intend to provide daily dealing, please provide following information:   1. Reason(s) for non-daily dealing:   Click or tap here to enter text.   1. Frequency of dealing:   Click or tap here to enter text. | | | |
|  | If amortised cost accounting may be utilised, please state the relevant section in the disclosure document that discloses on the PRS Provider’s measures and safeguards to properly address relevant risks associated with the use of amortised cost accounting:  Click or tap here to enter text. | | | |
|  | If the fund may utilise any liquidity risk management tool(s) for liquidity risk management purpose [please refer to the Guidance to paragraph 3.18(k)(ii) of the PRS Guidelines], please provide details of such tool(s):  Click or tap here to enter text. | | | |
|  | With regard to paragraphs 3.18(g) and (h) of the PRS Guidelines i.e. on fund management function for the fund, please tick (✓) the statement that applies to the fund[[6]](#footnote-6):  The fund management function for the fund will be undertaken internally within the PRS Provider and the name of the designated person(s) is as follows:  Click or tap here to enter text.  The fund management function for the fund will be undertaken externally. The designated person(s) appointed is/are –  holder of the Capital Markets Services Representative’s Licence to carry on the regulated activity of fund management  in the case of a foreign fund management company, the person is licensed, registered, approved or authorised to carry on the activity of fund management by the relevant regulator in his home jurisdiction  details of which are provided in Part C, Section K of the PRS Form enclosed in this submission file. | | | |

*[The rest of this page is intentionally left blank]*

## Compliance with Schedule B of the PRS Guidelines

| **Requirements under the PRS Guidelines** | **Complied with?** | | | * **If Yes, please indicate the relevant section and page in the disclosure document the disclosure is made** * **If No or N/A, please explain the reason** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| **Schedule B – Part A** | | | | |
| ***Exposure Limit*** | | | | |
| Paragraph (3) |  |  |  | Click or tap here to enter text. |
| ***Investment Spread Limits*** | | | | |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |
| Paragraph (5) |  |  |  | Click or tap here to enter text. |
| Paragraph (6) |  |  |  | Click or tap here to enter text. |
| Paragraph (9) |  |  |  | Click or tap here to enter text. |
| Paragraph (10) |  |  |  | Click or tap here to enter text. |
| Paragraph (10A) |  |  |  | Click or tap here to enter text. |
| Paragraph (11) |  |  |  | Click or tap here to enter text. |
| ***Exceptions to Investment Spread Limits*** | | | | |
| ***Government and other public securities or money market instruments*** | | | | |
| Paragraph (21A) |  |  |  | Click or tap here to enter text. |
| Paragraph (21B) |  |  |  | Click or tap here to enter text. |
| ***Deposits*** | | | | |
| Paragraph (21C) |  |  |  | Click or tap here to enter text. |
| ***CIS*** | | | | |
| Paragraph (21D) |  |  |  | Click or tap here to enter text. |
| ***Investment Concentration Limits*** | | | | |
| Paragraph (22) |  |  |  | Click or tap here to enter text. |
| Paragraph (23) |  |  |  | Click or tap here to enter text. |
| Paragraph (24) |  |  |  | Click or tap here to enter text. |
| Paragraph (25) |  |  |  | Click or tap here to enter text. |
| **Schedule B – Part B** | | | | |
| Paragraph (3)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(bb) |  |  |  | Click or tap here to enter text. |

If the fund is a specialised fund, please also submit the applicable Appendix to Part B of this section.

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#### Part B – Appendix I: Additional Requirements for a Cash Management Fund

| **Requirements under the PRS Guidelines** | **Complied with?** | | | * **If Yes, please indicate the relevant section and page in the disclosure document the disclosure is made** * **If No or N/A, please explain the reason** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| **Schedule B – Appendix I: Cash Management Fund** | | | | |
| ***Permissible investments*** | | | | |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |
| Paragraph (4A) |  |  |  | Click or tap here to enter text. |
| ***Exposure Limits*** | | | | |
| Paragraph (6) |  |  |  | Click or tap here to enter text. |
| Paragraph (7A) |  |  |  | Click or tap here to enter text. |
| Paragraph (7B) |  |  |  | Click or tap here to enter text. |
| ***Investment Spread Limits*** | | | | |
| Paragraph (8) |  |  |  | Click or tap here to enter text. |
| Paragraph (9) |  |  |  | Click or tap here to enter text. |
| Paragraph (11) |  |  |  | Click or tap here to enter text. |
| ***Investment Concentration Limits*** | | | | |
| Paragraph (14) |  |  |  | Click or tap here to enter text. |
| ***Repurchase Transactions*** | | | | |
| Paragraph (16) |  |  |  | Click or tap here to enter text. |
| Paragraph (17) |  |  |  | Click or tap here to enter text. |

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#### Part B – Appendix II: Additional Requirements for a Fund-of-Funds

| **Requirements under the PRS Guidelines** | **Complied with?** | | * **If Yes, please indicate the relevant section and page in the disclosure document the disclosure is made** * **If No, please explain the reason** |
| --- | --- | --- | --- |
| **Yes** | **No** |
| **Schedule B – Appendix II: Fund-of-Funds** | | | |
| ***General*** | | | |
| Paragraph (1) |  |  | Click or tap here to enter text. |
| Paragraph (1A) |  |  | Click or tap here to enter text. |
| Paragraph (2) |  |  | Click or tap here to enter text. |
| ***Investment Spread Limits*** | | | |
| Paragraph (6A) |  |  | Click or tap here to enter text. |

*[The rest of this page is intentionally left blank]*

#### Part B – Appendix III: Additional Requirements for a Feeder Fund

1. **Information of the target fund**

|  |  |
| --- | --- |
|  | Name of target fund:  Click or tap here to enter text. |
|  | Name of investment manager (where applicable)[[7]](#footnote-7):  Click or tap here to enter text. |
|  | Name of the regulatory authority that approved, authorised or licensed the investment manager as a fund manager:  Click or tap here to enter text. |
|  | Name of management company or operator (where applicable):  Click or tap here to enter text. |
|  | Please state the rationale for investing in the target fund:  Click or tap here to enter text. |

**If the target fund is a CIS that is other than a ‘physically-backed metal ETF’ as defined in the PRS Guidelines, please answer questions 6 to 10.**

**If the target fund is a physically-backed metal ETF’, please answer question 11.**

1. Please indicate if the target fund is from any of the following jurisdictions:

|  | **Home jurisdiction** | **Applicable law** | **Type of fund** |
| --- | --- | --- | --- |
|  | Malaysia | CMSA | Unit trust fund, ETF or listed REIT |
|  | Ireland | European Communities (UCITS) Regulations 2003 (as amended) | UCITS authorised by the Central Bank of Ireland |
|  | Luxembourg | Law of 17 December 2010 on Undertakings for Collective Investment (as amended) | UCITS authorised by the Commission de Surveillance du Secteur Financier, Luxembourg |
|  | Singapore | Securities and Futures Act of Singapore | CIS authorised by the Monetary Authority of Singapore |
|  | Hong Kong | Securities and Futures Ordinance | Mutual fund or unit trust authorised by the Securities and Futures Commission of Hong Kong |
|  | Other (please indicate the name of jurisdiction): Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| *If the target fund is from any other jurisdictions, please provide details of the consultation with the SC in the cover letter* | |

1. Please indicate the fund category of the target fund:

Click or tap here to enter text.

1. If the target fund may utilise leveraging as part of its investment strategy, please state the relevant sections and pages in the disclosure document:

* Paragraph(s): Click or tap here to enter text.
* Page number(s): Click or tap here to enter text.

1. If the target fund may use or invest in derivatives, please provide the following details:

|  |  |  |
| --- | --- | --- |
|  | The purpose of use of derivatives[[8]](#footnote-8):  Click or tap here to enter text. | |
|  | The maximum global exposure to derivatives: Click or tap here to enter text. | |
|  | The method used to calculate the global exposure:  Click or tap here to enter text. | |
|  | In the case where the target fund is authorised as UCITS: | |
|  |  | Has the documentation of the target fund’s risk management process been filed with the regulatory authority stated in question 6?  Yes  No  If ‘No’ is ticked (✓), please explain why:  Click or tap here to enter text. |
|  |  | Where available, is there evidence that the target fund’s risk management process has been approved by that regulatory authority (as named in question 6)?  Yes  No  Not applicable  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |

1. If the target fund may undertake securities lending or repurchase transactions, please provide the following details:

|  |  |
| --- | --- |
|  | The PRS Provider confirms that target fund will only undertake securities lending and repurchase transactions for the purpose of efficient portfolio management?  Yes  No  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |
|  | The PRS Provider confirms that the fund manager of the target fund has the appropriate policies and practices for the lending of securities and repurchase transactions by the target fund, and the fund manager can ensure that the volume of securities lending are repurchase transactions is kept at an appropriate level?  Yes  No  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |
|  | The PRS Provider confirms that the fund manager of the target fund will undertake securities lending and repurchase transactions in accordance with good market practice?  Yes  No  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |
|  | The PRS Provider confirms that the rules, requirements or criteria pertaining to securities lending or repurchase transactions that apply to the target fund are substantially similar to the requirements prescribed in the PRS Guidelines?  Yes  No  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |
|  | The PRS Provider confirms that the fund manager of the target fund will –   1. have at least 100% collateralisation in respect of the securities lending and repurchase transactions into which it enters; and 2. ensures there is no uncollateralised counterparty risk exposure arising from these transactions?   Yes  No  If ‘No’ is ticked (✓), please explain why the PRS Provider deems the target fund to be suitable and in compliance with the PRS Guidelines:  Click or tap here to enter text. |
|  | With respect to the credit rating requirement that applies to the counterparty to the securities lending and repurchase transactions, if the minimum credit rating is lower than the rating requirement in paragraph 8.34A of the PRS Guidelines, please provide the following:   1. The requirement that applies to the target fund:   Click or tap here to enter text.   1. Explanation on why the PRS Provider opines that the difference will not pose a risk to its feeder fund:   Click or tap here to enter text. |

1. If the target fund is a physically-backed metal ETF, please answer the following questions and indicate where the information is disclosed in the feeder fund’s disclosure document:

|  | **Question** | **Applicant’s response** | **Paragraph and page number in the feeder fund’s disclosure document** |
| --- | --- | --- | --- |
|  | Type of precious metal which the target fund is investing in | Choose an item.  If “Other physical metal” is selected, please state the type of metal:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | The name of the index which the target fund is tracking | Click or tap here to enter text. | Click or tap here to enter text. |
|  | The regulatory authority that regulates the target fund | Click or tap here to enter text. | Click or tap here to enter text. |
|  | The primary exchange where the shares/units of the target fund are being listed | Click or tap here to enter text. | Click or tap here to enter text. |
|  | If the shares/units of the target fund are listed on more than one (1) exchanges, please indicate where the fund manager may acquire the shares/units of the target fund | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Please confirm that the target fund fulfils the following criteria: |  |  |
|  | The assets of the target fund are held in trust and is segregated from the assets of the manager, sponsor, trustee or custodian of the target fund | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | The target fund adopts a passive management strategy with the objective of tracking the price of the metal | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | The maximum potential loss which the feeder fund may incur as a result of the investment is limited to the amount paid for it | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | The target fund is liquid, and will not impair the feeder fund’s ability to satisfy its redemption and other payment commitments | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | The target fund is subject to reliable and verifiable valuation on a daily basis | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |
|  | There is appropriate information available to the fund manager of the feeder on the investment in the target fund | Confirmed compliance  No  If ‘No’ is ticked (✓), please explain the non-compliance:  Click or tap here to enter text. | Click or tap here to enter text. |

***Note:*** *If –*

* *the answer to* ***question 9(c)*** *is a method other than ‘commitment approach’; or*
* *the answer to* ***question 11(a)****, is “Other physical metal”,*

*please ensure that the cover letter of the submission provide details on pre-consultation with the SC where clearance is obtained on investment in the target fund.*

1. If the target fund or the class of shares/units of the target fund which the feeder fund will invest in has been in operation and there is disclosure relating to its performance, please provide the following information on the target fund:

|  |  |  |
| --- | --- | --- |
|  | The net asset value of the target fund | Click or tap here to enter text. |
|  | Average total return of the target fund against its benchmark (if any) over– | |
| 1. the most recent financial year or since establishment if it is less than one financial year | Click or tap here to enter text. |
| 1. recent three (3) financial years | Click or tap here to enter text. |
| 1. recent five (5) financial years | Click or tap here to enter text. |
| 1. recent 10 financial years | Click or tap here to enter text. |
|  | Annual total return of the target fund for each of the last 10 financial years (or since establishment if it is less than 10 years) | Click or tap here to enter text. |

1. **Compliance with Schedule B – Appendix III: Feeder Funds of the PRS Guidelines**

| **Requirements under the PRS Guidelines** | **Complied with?** | | | * **If Yes, please indicate the relevant section and page in the disclosure document the disclosure is made** * **If No or N/A, please explain the reason** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| Paragraph (1)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (1A) |  |  |  | Click or tap here to enter text. |

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#### Part B – Appendix IV: Additional Requirements for a Bond or Fixed Income Fund (Other than a Country-Specific Government Bond or Fixed Income Fund)

| **Requirements under the PRS Guidelines** | **Complied with?** | | | * **If Yes, please indicate the relevant section and page in the disclosure document the disclosure is made** * **If No or N/A, please explain the reason** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| **Schedule B – Appendix IV, Part 1: Bond or Fixed Income Funds (General)** | | | | |
| ***Investment Spread Limits*** | | | | |
| Paragraph (2) |  |  |  | Click or tap here to enter text. |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |
| Paragraph (5) |  |  |  | Click or tap here to enter text. |
| Paragraph (6) |  |  |  | Click or tap here to enter text. |
| Paragraph (7) |  |  |  | Click or tap here to enter text. |

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#### Part B – Appendix IV: Additional Requirements for a Country-Specific Government Bond or Fixed Income Fund

|  |  |  |  |
| --- | --- | --- | --- |
|  | Name of foreign government, government agency, or supranational  Click or tap here to enter text. | | |
|  | Information on rating: | | |
| 1. Latest sovereign or issuer rating | : | Click or tap here to enter text. |
| 1. Date of rating assignment | : | Click or tap to enter a date. |
| 1. Name of credit rating agency(ies) | : | Click or tap here to enter text. |
|  | If paragraph (9)(a)(ii), Part 2, Schedule B – Appendix IV of the PRS Guidelines applies to the fund, please provide the following information:   1. If the foreign government, government agency or supranational is not listed on the list of acceptable issuers or guarantors, please indicate the section in the cover letter the information on the consultation with the SC:     Click or tap here to enter text.   1. Please demonstrate compliance with paragraph (9)(a)(ii), Part 2, Schedule B – Appendix IV of the PRS Guidelines by stating the relevant section in the disclosure document where the disclosure is made:      * Paragraph(s): Click or tap here to enter text. * Page number(s): Click or tap here to enter text. | | |

*[The rest of this page is intentionally left blank]*

#### Part B – Appendix V: Additional Requirements for an Index Fund

| **Requirements under the UTF Guidelines** | **Complied with?** | | | * **If Yes, please indicate the relevant section and page in the prospectus the disclosure is made** * **If No or N/A, please explain the reason** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| **Schedule B – Appendix V: Index Funds** | | | | |
| ***Name of Fund*** | | | | |
| Paragraph (2) |  |  |  | Click or tap here to enter text. |
| ***Index Tracking Strategies*** | | | | |
| Paragraph (3)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |
| ***Acceptable Indices*** | | | | |
| Paragraph (6)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(f) |  |  |  | Click or tap here to enter text. |

*[The rest of this page is intentionally left blank]*

## Information on the PRS Provider

|  |  |  |
| --- | --- | --- |
|  | Name of PRS Provider:    Click or tap here to enter text. | |
|  | Please state the shareholders’ funds:  RM Click or tap here to enter text. (as at Click or tap to enter a date.) | |
|  | Please indicate whether the PRS Provider is in compliance with the minimum independent board composition as prescribed in paragraph 3.04 of the PRS Guidelines? | |
|  | Yes |
|  | No – Please indicate the date when the 3-month leeway is triggered:  Click or tap to enter a date. |
|  | Please indicate whether the PRS Provider is in compliance with paragraph 3.05 of the PRS Guidelines? | |
|  | Yes |
|  | No – Please provide details in the cover letter if relief from this requirement has been obtained: Click or tap here to enter text. |
|  | Please state the website address of the PRS Provider:  Click or tap here to enter text. | |

*[The rest of this page is intentionally left blank]*

## Documents required to be submitted to the SC

| **Documents** | | **SC’s internal use** |
| --- | --- | --- |
| Cover letter, specifying the following: | |  |
|  | The authorisation sought |  |
|  | Details of other approvals or clearance obtained or pending |  |
|  | Details of any departure from the relevant guidelines, together with relevant justifications and waiver or exemption sought for such departure. Where waiver or exemption has been obtained, to provide details of such waiver or exemption |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
|  | Application fee and Fee Computation Checklist |  |
| Supplementary deed | |  |
|  | Application to register a supplementary deed (see Section E) |  |
|  | Lodgement of a deed (see Section F) |  |
| Supplementary or replacement disclosure document | |  |
|  | Application to register a supplementary or replacement disclosure document (see Section G) |  |
| Other application and submission  *Please* ✓ *all the applicable applications and submissions* | |  |

|  |  |  |
| --- | --- | --- |
|  | Application to qualify as an SRI fund (see Section C) |  |
|  | Application for exemption or variation from compliance with the SC’s requirements (see Section D) |  |
|  | Notification on appointment of Shariah adviser (see Part B, Section K) |  |
|  | Notification on appointment of an external fund manager (see Part C, Section K) |  |
|  | RMP documentation of a fund (see Section L) |  |
|  | If the fund is a **feeder fund**, the prospectus of the target fund named in Part B – Appendix III of Section B |  |

# 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 product highlights sheet |  |
| 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 Introduction & Instructions for these PRS Forms |  |

*[The rest of this page is intentionally left blank]*

# APPLICATION FOR EXEMPTION, VARIATION OR EXTENSION OF TIME

**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 or extension of time |  |
|  | Details of the relief or extension of time sought |  |
|  | Justifications for the relief or extension of time sought |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| Statement from the Scheme Trustee that the relief or extension of time does not jeopardise unit holders’ interest *(not required in the case of an application seeking extension of time to launch a fund)* | |  |
| Approval or clearance letter from other authorities | |  |
| Application fee and the Fee Computation Checklist | |  |

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# APPLICATION TO REGISTER A DEED

## Checklist for minimum contents for a deed of a fund

| **No.** | **Deed Content** | **Clause** | **Page** | **Remarks** |
| --- | --- | --- | --- | --- |
| **1.** | **Covenants of PRS Provider** |  |  |  |
| (4) | A deed must contain the duties and responsibilities of a PRS Provider as set out under Regulation 10 of the PRS Regulations and these Guidelines. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (5) | In addition, the PRS Provider’s duties must include, but are not limited to, the following covenants: | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (a) | The PRS Provider must ensure that the Scheme has, at all times, an appointed Scheme Trustee; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (b) | The PRS Provider must pay to the Scheme Trustee, within 7 business days after receipt by the PRS Provider, any money which, under the deed, is payable to the Scheme Trustee; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (c) | The PRS Provider must not sell any unit of the funds under the Scheme to which the deed relates, other than at a price calculated in accordance with the deed; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (d) | The PRS Provider must, at the request of members, purchase units held by the member, and the purchase price will be a price calculated in accordance with the deed; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (e) | The PRS Provider must make available, or ensure that there is made available, to the Scheme Trustee such information as the Scheme Trustee requires on all matters relating to the Scheme and funds under the Scheme to which the deed relates; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (f) | The PRS Provider must not exercise the voting rights with respect to the units it holds in any members’ meeting, regardless of the party who requested for and called the meeting and the matter or matters that are laid before members; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (g) | The PRS Provider must attach the Scheme Trustee’s report together with the annual report required to be sent to members; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (h) | Where a member becomes accountable or liable for any tax penalty in respect to any benefit or payment to be paid for pre-retirement withdrawals, the PRS Provider may deduct such tax penalty from the benefit or payment before making payment to the member; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (i) | If a member dies, to permit withdrawal to the beneficiary(ies) nominated by the member during his or her lifetime or to the member’s personal representative upon the making of an application for withdrawal to the relevant PRS Provider. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **2.** | **Covenants of the Scheme Trustee** |  |  |  |
| (6) | A deed of a Scheme must contain duties of a Scheme Trustee which are provided under Regulation 12 of the PRS Regulations, the securities laws, the Guidelines on the Registration and Conduct of Capital Market Services Providers, these Guidelines and also include, but not be limited to, the following covenants: | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (a) | The Scheme Trustee must ensure that the scheme has, at all times, an appointed PRS Provider; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (b) | The Scheme Trustee must cause the accounts referred to in Regulation 11 of the PRS Regulations to be audited at the end of each financial year by an auditor appointed by the Scheme Trustee; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (c) | The Scheme Trustee must provide at least three months’ notice of its intention to leave office as Scheme Trustee and undertake to act as Scheme Trustee until a new Scheme Trustee is appointed and has taken office as Scheme Trustee. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **3.** | **Joint Covenants of the PRS Provider and Scheme Trustee** |  |  |  |
| (7) | A deed of a Scheme must contain covenants of the PRS Provider and Scheme Trustee including, but not be limited to, the following: | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (a) | The PRS Provider and the Scheme Trustee must safeguard the interests of members as a whole; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (b) | The PRS Provider and the Scheme Trustee must ensure that for the duration of the Scheme, there is a registered deed in force at all times. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.** | **Other Provisions** |  |  |  |
| (8) | A deed of a Scheme must also contain provisions for the following: | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (a) | Creation of the fund(s) or declaration of trust, which also sets out full particulars of the trust, including precise information as to the circumstances in which the money, securities, investments and properties subject to the fund are or will be vested in that Scheme Trustee, and the duties and obligations of the Scheme Trustee towards; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (b) | That the deed– | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (i) | is binding on each member as if it had been a party to it and that it is bound by its provisions; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (ii) | authorises and requires the PRS Provider and the Scheme Trustee to do the things required or permitted of them by the terms of the deed; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (iii) | is made and governed under the laws of Malaysia; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (c) | Appointment of a Scheme Trustee to the Scheme to which the deed relates; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (d) | Full particulars of the Scheme and funds within the Scheme including, but not limited to– | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (i) | names of the funds within the Scheme; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (ii) | investment objective of all the funds within the Scheme; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (iii) | permitted investments, limits and restrictions; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (iv) | basis for the valuation and the pricing policy, the method of pricing as well as the circumstances under which it can change; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (v) | distribution policy, including the basis for the distribution or reinvestment of income; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (vi) | financial period of all the funds within the scheme; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (vii) | if classes of units are issued, a provision specifying the classes, differences between the classes and rights attached to each class; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (viii) | if any class of units may be mandatorily or otherwise converted to another class of units, a provision specifying the conditions/circumstances in which such conversion may occur; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (ix) | a statement on the base currency of a fund (if classes of units are denominated in different currencies; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (x) | if the fund is a bond or fixed income fund referred to in Part 2, Schedule B – Appendix IV of these Guidelines, the name of the foreign country, foreign government, government agency or supranational issuing or guaranteeing the debt securities or money market instruments. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (e) | Full particulars on circumstances in which, and methods by which, all or any of the investments may be varied; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (f) | Full particulars on the provision to be made for investments in assets which depreciate in value, including the source from which the replacement is to be made or from which the cost of replacement is to be met. If no provision is made, a statement to that fact must be clearly stated; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (h) | Full particulars on the conditions governing the transfer of any units in a fund under a Scheme to which the deed relates to another PRS Provider as allowed under applicable transfer rules governing the scheme; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (i) | Full particulars on the remuneration of the PRS Provider and Scheme Trustee, respectively, including dealing charges (if any) and expenses which are allowed to be paid out of the fund; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (j) | Where the deed requires, or confers a right on, members to enter into an agreement in connection with a fund under a Scheme, a provision incorporating, the terms and conditions of that agreement; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (k) | A declaration that unless the conditions of issue of any unit expressly provide that a certificate need not be issued, a certificate must be issued by the Scheme Trustee to a purchaser of any unit purchased or subscribed for, not more than two months after the issue of the unit; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (l) | Circumstances under which the dealing in units can be deferred or suspended; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (m) | Circumstances, procedures and processes for termination of the Scheme or the fund under the Scheme (where multiple classes of units are issued, the circumstances, procedures and processes for termination of each class of units and the fund); | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (n) | Circumstances, procedures and processes for convening of meetings of members, including the manner in which votes may be given at a meeting of members; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (o) | Circumstances, procedures and processes for retirement, removal and replacement of the PRS Provider and the Scheme Trustee; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (p) | Circumstances, procedures and processes for the appointment, retirement, removal and replacement of the auditor for the fund under the Scheme; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (q) | Specific provisions whereby the PRS Provider undertakes to keep and maintain an up-to-date register of members and to make that register available for inspection, free of charge, to any member at any time during ordinary business hours of the PRS Provider; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (r) | The extent of the indemnity provided by the PRS Provider; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (s) | Provisions relating to members’ rights and the extent of their liability, including the rights, liabilities and any limitation attached to vested and conditionally vested units issued pursuant to a vesting schedule; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (t) | Provisions governing the modification of the deed; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (u) | Conditions under which the benefit becomes payable and the way in which benefits will be determined; | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (v) | Conditions which are necessary to give effect to the requirement for payment of tax penalty for pre-retirement withdrawal. This may include the following provisions: | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (i) | Subject to permitted reasons for withdrawals, a member may not make a withdrawal from any fund under the scheme until the member reaches the retirement age. Upon reaching the retirement age, a member shall be entitled to withdraw the full amount accumulated in all funds under the Scheme held by the member as accrued benefits without payment of any tax; and | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| (ii) | At any time before reaching the retirement age, a member may by making a request to the PRS Provider (in such form and within such time limits as may be required) request for withdrawal from sub-account B of the relevant PRS Provider. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

*[The rest of this page is intentionally left blank]*

## Documents required to be submitted to the SC

| **Documents** | | | **SC’s internal use** |
| --- | --- | --- | --- |
| Cover letter, specifying the following: | | |  |
|  | Application to register a deed | |  |
|  | A confirmation that the accompanying documents are complete, signed and dated | |  |
|  | A declaration stating that the deed complies with the requirements of the CMSA, the PRS Regulations and the minimum requirements for a deed prescribed in the PRS Guidelines | |  |
|  | A declaration as follows:  “We hereby declare that we have inspected the deed and verified to the best of our knowledge and belief, that the contents of the deed are true, complete and accurate. We are aware of all our obligations under the relevant laws and guidelines.” | |  |
|  | An acknowledgement as follows:  “We acknowledge the following:   1. The registration of this deed should not be taken to indicate that the Securities Commission Malaysia assumes responsibility for the accuracy, correctness or completeness of any provisions contained in this deed; 2. The Securities Commission Malaysia is not liable for any omission on the part of the PRS Provider, and expressly disclaims any liability whatsoever arising from, or in reliance upon, the whole part or any part of its contents.” | |  |
|  | If the deed submitted for registration is not stamped, a confirmation as follows:  “We, [name of PRS Provider], confirm that we have on [date] submitted an application to Lembaga Hasil Dalam Negeri Malaysia vide the Stamp Assessment and Payment System (STAMPS) portal for stamping of a deed in relation to [name of fund]. We attach a printout from the STAMPS portal evidencing our application, for the SC’s reference.  We hereby undertake to pay the stamp duty required upon being notified by STAMPS and to submit to the SC a copy of the stamp certificate[[9]](#footnote-9) within 2 business days the certificate is generated by STAMPS.” | |  |
|  | Information as required in item 3) of the General instructions in these PRS Forms | |  |
| Letter from the Scheme Trustee[[10]](#footnote-10) | | |  |
|  | A declaration as follows:  “We hereby declare that we have inspected the deed and verified to the best of our knowledge and belief, that the contents of the deed are true, complete and accurate. We are aware of all our obligations under the relevant laws and guidelines.” | |  |
|  | An acknowledgment as follows:  “We acknowledge the following:   1. The registration of this deed should not be taken to indicate that the Securities Commission Malaysia assumes responsibility for the accuracy, correctness or completeness of any provisions contained in this deed; 2. The Securities Commission Malaysia is not liable for any omission on the part of the trustee, and expressly disclaims any liability whatsoever arising from, or in reliance upon, the whole part or any part of its contents.” | |  |
|  | Minimum contents checklist for deed (see Part A of this Section) | |  |
|  | Registration fee and the Fee Computation Checklist | |  |
|  | The executed, and either stamped deed or an unstamped deed accompanied with evidence of submission of an application for stamping of the deed to the Lembaga Hasil Dalam Negeri Malaysia[[11]](#footnote-11) | |  |
| For registration of a supplementary deed | | |  |
|  | Members’ resolution sanctioning the modification of the deed | |  |
|  | Statement from the Scheme Trustee as prescribed under regulation 5(3)(b) of the PRS Regulations | |  |
|  | Statement from the PRS Provider as prescribed under regulation 5(3)(b) of the PRS Regulations | |  |
|  | A list highlighting the original provisions from the principal deed and the amended provision (“**List of Amendments**”), and the rationale for such amendments, the explanation on why the rationale for such amendments, the explanation on why the amendments do not materially prejudice the interests of members (if applicable) and whether such amendments are significant changes that will affect members’ decision to stay invested in the fund. | |  |
|  | If the amendment relates to inclusion of provision pertaining to investment in new or higher risk investments, the RMP documentation of a fund (see Section L)[[12]](#footnote-12) | |  |
|  | If the amendment relates to inclusion of provision to allow distribution out of capital – | |  |
|  | 1. the justification for allowing distribution out of capital |  |  |
|  | 1. an explanation as to why the introduction of capital distribution will not materially prejudice members’ interest |  |  |
|  | 1. explanation on whether members have been informed of the change  * If yes, to indicate the date the notice was sent * If no, to explain why  1. The expected date of submission to register a disclosure document to reflect the required disclosures. |  |  |

*[The rest of this page is intentionally left blank]*

# LODGEMENT OF A DEED

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

|  |  |  |
| --- | --- | --- |
| **Documents** | | **SC’s internal use** |
| Cover letter, specifying the following: | |  |
|  | To lodge with the SC the deed of the fund |  |
|  | A declaration that the copy of the deed lodged with the SC is identical to the deed registered by the SC |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| Copy of the deed | |  |
| Lodgement fee and the Fee Computation Checklist | |  |

*[The rest of this page is intentionally left blank]*

# APPLICATION TO REGISTER A DISCLOSURE DOCUMENT

## Minimum content checklist for a disclosure document

| **Requirements under Schedule H of the PRS Guidelines** | **Complied with?** | | | **Comments** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| **Cover Page** | | | | |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |
| Paragraph (5)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (5)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (6)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (7) |  |  |  | Click or tap here to enter text. |
| Paragraph (8) |  |  |  | Click or tap here to enter text. |
| Paragraph (9), on the upper right hand corner of the disclosure document:  **“This is a Private Retirement Scheme”** |  |  |  | Click or tap here to enter text. |
| Paragraph (9)  **“Members are advised to read and understand the contents of the disclosure document. If in doubt, please consult a professional adviser.”** |  |  |  | Click or tap here to enter text. |
| Paragraph (9)  **“For information concerning certain risk factors which should be considered by prospective members, see "Risk Factors" commencing on page [xx].”** |  |  |  | Click or tap here to enter text. |
| Paragraph (10) |  |  |  | Click or tap here to enter text. |
| **Inside Cover/First Page** | | | | |
| Paragraph (11) – Responsibility Statements |  |  |  | Click or tap here to enter text. |
| Paragraph (11) – Statements of Disclaimer |  |  |  | Click or tap here to enter text. |
| Paragraph (12) |  |  |  | Click or tap here to enter text. |
| Paragraph (13) |  |  |  | Click or tap here to enter text. |
| Paragraph (13A) |  |  |  | Click or tap here to enter text. |
| **Table of Contents/Definitions/Corporate Directory** | | | | |
| Paragraph (15) |  |  |  | Click or tap here to enter text. |
| Paragraph (16) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(v) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(vi) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(vii) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(h)(viii) |  |  |  | Click or tap here to enter text. |
| Paragraph (17)(i) |  |  |  | Click or tap here to enter text. |
| If the information as required in **paragraph 17A** is disclosed on the PRS provider’s website instead of in the disclosure document, please indicate in the ‘Comments’ column for the respective sub-paragraphs, the location on the PRS provider’s website where the information can be found | | | | |
| Paragraph (17A) – PRS Provider & its delegates (if any) |  |  |  | Click or tap here to enter text. |
| Paragraph (17A) – Scheme Trustee & its delegate (if any) |  |  |  | Click or tap here to enter text. |
| Paragraph (17A) – PRS Provider & its delegates (if any) |  |  |  | Click or tap here to enter text. |
| Paragraph (17A) – Shariah advisers or advisers (if any) |  |  |  | Click or tap here to enter text. |
| Paragraph (17A) – Expert |  |  |  | Click or tap here to enter text. |
| **Key Data/Information Summary** | | | | |
| Paragraph (20)  **“This is a Private Retirement Scheme”** |  |  |  | Click or tap here to enter text. |
| Paragraph (20)  **“There are fees and charges involved and potential members are advised to consider them before contributing to a Scheme.”** |  |  |  | Click or tap here to enter text. |
| Paragraph (20)  **“Unit prices and distributions, if any, may go down as well as up.”** |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(a)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(a)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(a)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(a)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(v) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(vi) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(vii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(viii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(b)(ix) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(c)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(c)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(c)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(d)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(d)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(d)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(d)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (21)(d)(v) |  |  |  | Click or tap here to enter text. |
| **Risk Factors** | | | | |
| Paragraph (22)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(bb) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (22)(g) |  |  |  | Click or tap here to enter text. |
| **Risk relating to securities lending and repurchase transactions** | | | | |
| Paragraph (22A)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (22A)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (22A)(c) |  |  |  | Click or tap here to enter text. |
| **Scheme Details** | | | | |
| Paragraph (23) |  |  |  | Click or tap here to enter text. |
| Paragraph (24) |  |  |  | Click or tap here to enter text. |
| Paragraph (25) |  |  |  | Click or tap here to enter text. |
| Paragraph (26) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(b)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(b)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(b)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(d)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(d)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(d)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (27)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (28)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (28)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (28)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (28)(e) |  |  |  | Click or tap here to enter text. |
| **Securities lending and repurchase transactions [paragraph (28A)]** | | | | |
| Paragraph (28A)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (28A)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (28A)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (28A)(d) |  |  |  | Click or tap here to enter text. |
| **Collateral policy and criteria [paragraph (28B)]** | | | | |
| Paragraph (28B)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (28B)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (29)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (29)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (30) |  |  |  | Click or tap here to enter text. |
| **Fees, Charges and Expenses** | | | | |
| Paragraph (31) |  |  |  | Click or tap here to enter text. |
| Paragraph (32)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (32)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (32)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (32)(d) |  |  |  | Click or tap here to enter text. |
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| Paragraph (34) |  |  |  | Click or tap here to enter text. |
| Paragraph (35) |  |  |  | Click or tap here to enter text. |
| Paragraph (35A) |  |  |  | Click or tap here to enter text. |
| Paragraph (36) |  |  |  | Click or tap here to enter text. |
| Paragraph (37) |  |  |  | Click or tap here to enter text. |
| Paragraph (38) |  |  |  | Click or tap here to enter text. |
| **Transaction Information** | | | | |
| Paragraph (39) |  |  |  | Click or tap here to enter text. |
| Paragraph (39A) |  |  |  | Click or tap here to enter text. |
| Paragraph (39B) |  |  |  | Click or tap here to enter text. |
| Paragraph (39C) |  |  |  | Click or tap here to enter text. |
| Paragraph (40) |  |  |  | Click or tap here to enter text. |
| Paragraph (41) |  |  |  | Click or tap here to enter text. |
| Paragraph (42) |  |  |  | Click or tap here to enter text. |
| Paragraph (42A) |  |  |  | Click or tap here to enter text. |
| Paragraph (43) |  |  |  | Click or tap here to enter text. |
| Paragraph (44) |  |  |  | Click or tap here to enter text. |
| Paragraph (45) |  |  |  | Click or tap here to enter text. |
| Paragraph (46) |  |  |  | Click or tap here to enter text. |
| **The PRS Provider** | | | | |
| Paragraph (47) |  |  |  | Click or tap here to enter text. |
| Paragraph (48)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (48)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (49)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (49)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (51)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (51)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (52)(a) |  |  |  | Click or tap here to enter text. |
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| Paragraph (52)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (53) |  |  |  | Click or tap here to enter text. |
| Paragraph (54)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (54)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (54)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (55A) |  |  |  | Click or tap here to enter text. |
| Paragraph (55B)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (55B)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (55B)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (55B)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (55B)(e) |  |  |  | Click or tap here to enter text. |
| **Other information** | | | | |
| Paragraph (55C) |  |  |  | Click or tap here to enter text. |
| Paragraph (55D)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (55D)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (55D)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (55E) |  |  |  | Click or tap here to enter text. |
| Paragraph (55F) |  |  |  | Click or tap here to enter text. |
| Paragraph (55G) |  |  |  | Click or tap here to enter text. |
| Paragraph (55H) |  |  |  | Click or tap here to enter text. |
| **The Scheme Trustee** | | | | |
| Paragraph (56) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(c)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(c)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(c)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(c)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(c)(v) |  |  |  | Click or tap here to enter text. |
| Paragraph (57)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (58) |  |  |  | Click or tap here to enter text. |
| Paragraph (59)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (59)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (60)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (60)(b) |  |  |  | Click or tap here to enter text. |
| **Salient Terms of Deed** | | | | |
| Paragraph (61)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(h) |  |  |  | Click or tap here to enter text. |
| Paragraph (61)(i) |  |  |  | Click or tap here to enter text. |
| **Approvals and Conditions** | | | | |
| Paragraph (62) |  |  |  | Click or tap here to enter text. |
| Paragraph (63) |  |  |  | Click or tap here to enter text. |
| **Related-Party Transactions/Conflict of Interest** | | | | |
| Paragraph (64) |  |  |  | Click or tap here to enter text. |
| Paragraph (65) |  |  |  | Click or tap here to enter text. |
| Paragraph (68) |  |  |  | Click or tap here to enter text. |
| **Taxation of the Fund** | | | | |
| Paragraph (69)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (69)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (69)(c) |  |  |  | Click or tap here to enter text. |
| **Contributions and Withdrawals** | | | | |
| Paragraph (70) |  |  |  | Click or tap here to enter text. |
| Paragraph (71) |  |  |  | Click or tap here to enter text. |
| **Additional Information** | | | | |
| Paragraph (72) |  |  |  | Click or tap here to enter text. |
| Paragraph (73) |  |  |  | Click or tap here to enter text. |
| Paragraph (74A) |  |  |  | Click or tap here to enter text. |
| Paragraph (74B) |  |  |  | Click or tap here to enter text. |
| Paragraph (74C) |  |  |  | Click or tap here to enter text. |
| **Consents** | | | | |
| Paragraph (77) |  |  |  | Click or tap here to enter text. |
| **Documents Available For Inspection** | | | | |
| Paragraph (78)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (78)(g) |  |  |  | Click or tap here to enter text. |
| **Specific Requirements For Index Funds** | | | | |
| Paragraph (79)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(f) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(h) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(j) |  |  |  | Click or tap here to enter text. |
| Paragraph (79)(k) |  |  |  | Click or tap here to enter text. |
| Paragraph (80)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (80)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (80)(c) |  |  |  | Click or tap here to enter text. |
| **Specific Requirements For Cash Management Funds** | | | | |
| Paragraph (81) |  |  |  | Click or tap here to enter text. |
| Paragraph (82)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (82)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (83) |  |  |  | Click or tap here to enter text. |
| **Specific Requirements For Feeder Funds** | | | | |
| Paragraph (84) |  |  |  | Click or tap here to enter text. |
| Paragraph (85)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (85)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (85)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (85)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (85)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(aa) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (86)(e) |  |  |  | Click or tap here to enter text. |
| Paragraph (87) |  |  |  | Click or tap here to enter text. |
| Paragraph (88) |  |  |  | Click or tap here to enter text. |
| Paragraph (89) |  |  |  | Click or tap here to enter text. |
| Paragraph (90) |  |  |  | Click or tap here to enter text. |
| Paragraph (90A) |  |  |  | Click or tap here to enter text. |
| **Application Form** | | | | |
| Paragraph (91) |  |  |  | Click or tap here to enter text. |
| Paragraph (92)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (92)(c) |  |  |  | Click or tap here to enter text. |
| Paragraph (92)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (92)(e) |  |  |  | Click or tap here to enter text. |

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## Documents required to be submitted to the SC

| **Documents** | | | **SC’s internal use** |
| --- | --- | --- | --- |
| Cover letter, specifying the following: | | |  |
|  | Application to register the disclosure document | |  |
|  | A confirmation that a due diligence review has been conducted and verified that the disclosure document complies with the minimum disclosure requirements as stated under the PRS Guidelines | |  |
|  | A confirmation that the accompanying documents in the registration file are complete, duly signed and dated, where applicable | |  |
|  | A confirmation that all relevant conditions of approval, to be complied with before the issuance of the disclosure document, have been met | |  |
|  | The address of the online sites on which the electronic disclosure document and electronic application form will be made available | |  |
|  | The date on which the electronic disclosure document will first be posted on the relevant internet sites, or will first be issued, circulated or, if applicable, distributed via an electronic storage medium | |  |
|  | Where the disclosure document is in a language other than Bahasa Malaysia or English, a confirmation confirming the true and accurate translation of the disclosure document | |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms | |  |
| Registrable copy of disclosure document, in each language | | |  |
| Minimum content checklist for disclosure document (see Part A of this Section) | | |  |
| Registration fee and the Fee Computation Checklist | | |  |
|  | Director’s responsibility statement for the disclosure document which all directors must sign | |  |
|  | If an alternate director signs the responsibility statement, there must be a clear reference made in the responsibility statement of such fact. The **original written authorisations by directors**, appointing an alternate director to sign the responsibility statement on their behalf **must be submitted**. | |  |
| Copies of all letters of consent from all persons named in the disclosure document as having made a statement that is included in the disclosure document or on which a statement made in the disclosure document is based. The consent letter is to be addressed to the PRS Provider | | |  |
| Copy of letter of approval from any other relevant authority (e.g. Bank Negara Malaysia) | | |  |
|  | Certified copies of all material contracts referred to in the disclosure document or, in the case of contracts not reduced into writing, a memorandum which gives full particulars of the contracts | |  |
|  | Certified copies of reports or letters from experts disclosed in the disclosure document (e.g. tax advisers, etc.) | |  |
| Copy of the application form that is in the same language as the registrable disclosure document | | |  |
| For supplementary or replacement disclosure document | | |  |
|  | A list highlighting the original statements from the previously registered disclosure document and the amended document, reasons for such amendment and how paragraphs 13.23A to 13.23C of the PRS Guidelines have been or will be complied with | |  |
|  | Certified copies of additional, amended or new material contracts disclosed in the disclosure document pursuant to paragraph 14.06C(j) of the PRS Guidelines. In the case of contracts not reduced into writing, a memorandum which gives full particulars of the contracts. | |  |
|  | If the amendment relates to inclusion of disclosure pertaining to investment in new or higher risk investments, the RMP documentation of a fund (see Section L), if this is not already submitted during the registration of the supplementary deed stage[[13]](#footnote-13) | |  |
|  | If the amendment is to provide disclosure relating to distribution out of capital – | |  |
|  | 1. the justification for allowing distribution out of capital |  |  |
|  | 1. an explanation as to why the change is not a significant change |  |  |
|  | 1. explanation on whether members have been informed of the change  * If yes, to indicate the date the notice was sent * If no, to explain why |  |  |

*[The rest of this page is intentionally left blank]*

# LODGEMENT OF A DISCLOSURE DOCUMENT

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

|  |  |  |
| --- | --- | --- |
| **Documents** | | **SC’s internal use** |
| Cover letter, specifying the following: | |  |
|  | To lodge with the SC the disclosure document |  |
|  | A declaration that the disclosure document lodged with the SC is the same as the registrable disclosure document registered with the SC |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| Copy of the disclosure document in each language together with its application form | |  |
| Lodgement fee and the Fee Computation Checklist | |  |

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# LODGEMENT OF A PRODUCT HIGHLIGHTS SHEET (PHS)

## Minimum contents checklist of a PHS

| **Requirements under Schedule I of the PRS Guidelines** | **Complied with?** | | | **Comments** |
| --- | --- | --- | --- | --- |
| **Yes** | **No** | **N/A** |
| Paragraph (1)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(c): Name of the Scheme |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(c): Brief description of funds under the scheme |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(d) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(e)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(e)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(e)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(e)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(e)(v) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(i)(A) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(i)(B) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(i)(C) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(i)(D) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(iv) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(v) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(f)(vi) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(g) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(h)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(h)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(h)(iii) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(j) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(k)(i) |  |  |  | Click or tap here to enter text. |
| Paragraph (1)(k)(ii) |  |  |  | Click or tap here to enter text. |
| Paragraph (2) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(a) |  |  |  | Click or tap here to enter text. |
| Paragraph (3)(b) |  |  |  | Click or tap here to enter text. |
| Paragraph (4) |  |  |  | Click or tap here to enter text. |

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## Documents required to be submitted to the SC

|  |  |
| --- | --- |
| **Documents** | **SC’s internal use** |
| Cover letter, specifying the following:  The lodgement of PHS of a fund with the SC  A declaration that the PHS is in compliance with the PRS Guidelines  Where the PHS is issued in various languages, a confirmation confirming that the PHS is a true and accurate translation of the PHS issued/to be issued in the original language (i.e. either Bahasa Malaysia or English Language) of the disclosure document    Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| PHS in each language |  |
| Minimum content checklist for PHS (see Part A of this Section) |  |
| Lodgement fee and the Fee Computation Checklist |  |

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# LODGEMENT OF AN ANNUAL REPORT/SUBMISSION OF A SEMI-ANNUAL REPORT OF A FUND

## Minimum Content Checklist of Fund Report

|  | **Fund Report Content** | **Section/Item No.** | **Page** | **Remark** |
| --- | --- | --- | --- | --- |
|  | Name of the fund[[14]](#footnote-14) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Type of report[[15]](#footnote-15) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Financial year/period end[[16]](#footnote-16) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Name of auditor[[17]](#footnote-17) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Requirements under Section E of the PRS Guidelines** | | | | |
| ***Fund Information*** | | | | |
|  | Paragraph (5)(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (5)(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (5)(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (5)(d) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Fund Performance*** | | | | |
|  | Paragraph (6)(a)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(a)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(a)(iii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(a)(iv) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (6)(a)(vi) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(a)(vii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(a)(viii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(b)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(b)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(b)(iii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (6)(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (8) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***PRS Provider’s Report*** | | | | |
|  | Paragraph (11)(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(d) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(dd) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(e) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(f) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(g) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(h) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(hh)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(hh)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(j)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(j)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(jj) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(jjj) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(k) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(l) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (11)(m) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Scheme Trustee’s Report – Prepared in accordance with paragraph (13A) and Appendix I of Schedule E of the PRS Guidelines*** | | | | |
|  | Paragraphs (12) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (13) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (14) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Shariah Adviser’s Report – Prepared in accordance with paragraph (16) and Appendix II of Schedule E of the PRS Guidelines*** | | | | |
|  | Paragraph (15) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Financial Statements*** | | | | |
|  | Paragraph (20) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (21) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***A***(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (25)***A***(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***A***(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***A***(d) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***B***(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***B***(b)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***B***(b)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (22)***B***(b)(viii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(a)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(a)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(a)(iii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(a)(iv) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (22)***C***(a)(vi) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (22)***C***(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(d) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***C***(e) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(d) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(e) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***D***(f) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***E*** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (22)***F***(e)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(e)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(f) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(g) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(gg)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(gg)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(gg)(iii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(h) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(j)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (22)***F***(j)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Additional contents of a fund’s annual or semi-annual report*** | | | | |
|  | Paragraph (23)(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (23)(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (23)(c) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Information on derivative investments*** | | | | |
|  | Paragraph (24)(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (24)(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (25) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Information on securities financing transactions*** | | | | |
|  | Paragraph (26)(a) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (26)(b) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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|  | Paragraph (26)(f)(v) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (26)(g) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (26)(h) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| ***Information on Collateral*** | | | | |
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|  | Paragraph (27)(g)(i) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Paragraph (27)(g)(ii) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

## 

## Documents required to be submitted to the SC

|  |  |  |
| --- | --- | --- |
| **Documents** | | **SC’s internal use** |
| Cover letter, specifying the following: | |  |
|  | 1. The lodgement of an annual report; or 2. The submission of a semi-annual report,   of a fund with the SC |  |
|  | Information as required in item 3) Introduction & Instructions for these PRS Forms |  |
| Copy of the annual report/semi-annual report (Fund Report) | |  |
| A signed copy of the declaration by the director(s) of the PRS Provider that the financial statements give a true and fair view of the fund. This declaration must be identical to the declaration printed in the semi-annual report.  *(apply only to semi-annual report where the financial statements of the fund are unaudited)* | |  |
| Minimum content checklist of the Fund Report (see Part A of this Section) | |  |
| Lodgement fee and the Fee Computation Checklist  *(apply only to lodgement of annual report)* | |  |

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# NOTIFICATION TO THE SC

## General – Documents required to be submitted to the SC

| **Documents** | | **SC’s internal use** |
| --- | --- | --- |
| Cover letter, specifying the following: | |  |
|  | The notification being submitted including details |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
| Supporting information/document | |  |
|  | For notification on appointment or resignation of Shariah adviser, please provide information required in Part B of this Section |  |
|  | For notification on appointment of an external fund manager, please provide information required in Part C of this Section |  |
|  | For notification on passing a resolution during a members’ meeting, a copy of minute of the meeting |  |
|  | For notification on the court confirming the members’ resolution to terminate the fund, a copy of the court order |  |
|  | For notification on commencement of termination of a fund/class of units of a fund, please provide information required in Part D of this Section |  |
|  | For notification on completion of termination of a fund/class of units of a fund, confirmation from the trustee of the terminated fund on the following:   1. The assets of the fund have been realised and distributed to another fund; and 2. The PRS Provider has managed the fund as prescribed by the deed and relevant laws. |  |
|  | For notification on unit split exercise, the cover letter must state the date of current exercise and date of previous exercise (if any) and to provide a copy of Scheme Trustee’s verification on compliance with paragraph 11.22 of the PRS Guidelines |  |
|  | For notification on the change to the timing of issuance of the annual report or semi-annual report of a fund (that is being terminated), the cover letter must also state the expected date of the issuance of the said report |  |
|  | For notification on the change of a fund’s annual or semi-annual financial period (other than a fund being terminated), the cover letter must also state the reasons for the change and any other matters that need to be brought to members’ attention |  |
|  | For notification on suspension of dealing in units of a fund, the cover letter must state this fact, including –   1. the period of suspension or any extension of suspension 2. the reason(s) for the suspension or extended suspension,   as the case may be |  |
|  | For notification on resumption of dealing in units (after any suspension), the cover letter must state the proposed resumption and the date of the proposed resumption |  |
|  | For other notifications, please provide details below:  Click or tap here to enter text. |  |

*[The rest of this page is intentionally left blank]*

## Notification of appointment/resignation of Shariah adviser

|  |  |  |
| --- | --- | --- |
| Name of PRS Provider | : | Click or tap here to enter text. |
| Name of fund(s) | : | Click or tap here to enter text. |

**Appointment**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Effective date of appointment | | : | Click or tap here to enter text. |
|  | If Shariah Adviser is a corporation, please state the name of the corporation and tick (✓) where applicable – | | | |
| Name of corporation: Click or tap here to enter text. | | | |
|  | A corporation registered with the SC which is independent from the PRS Provider and does not hold officer as a member of oversight arrangement of the same fund or any other funds managed or administered by the management company –   * Date of registration: Click or tap to enter a date. * Date of expiry of registration: Click or tap to enter a date. | | |
|  | A licensed Islamic bank | | |
|  | A licensed bank or investment bank approved to carry on Islamic banking business | | |
|  | If Shariah adviser comprise of individuals, please state the name of the individuals and indicate if the person is independent from the PRS Provider and does not hold officer as a member of oversight arrangement of the same fund or any other funds managed or administered by the PRS Provider:   | **No.** | **Name** | **Independent?**  **(Y/N)** | | --- | --- | --- | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | | | | |

***Note****: Please use the add row function if the rows provided are insufficient*

**Resignation**

|  |  |  |  |
| --- | --- | --- | --- |
|  | Effective date of resignation | : | Click or tap here to enter text. |
|  | If Shariah Adviser is a corporation, state the name of the corporation and tick (✓) where applicable – | | |
| Name of corporation: Click or tap here to enter text. | | |
| corporation registered with SC  licensed Islamic bank  licensed bank or investment bank approved to carry on Islamic banking business | | |
|  | If Shariah Advisers are individuals, state the name of the individuals below:   | **No.** | **Name** | | --- | --- | |  | Click or tap here to enter text. | |  | Click or tap here to enter text. | |  | Click or tap here to enter text. | |  | Click or tap here to enter text. | |  | Click or tap here to enter text. | | | |
|  | Reasons for resignation: Click or tap here to enter text. | | |

***Note on item 3****: Please use the add row function if the rows provided are insufficient*

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## Notification of appointment of an external fund manager

|  |  |  |  |
| --- | --- | --- | --- |
|  | Name of fund(s)  Click or tap here to enter text. | | |
|  | Name of fund management company (FMC)  Click or tap here to enter text. | | |
|  | Date of incorporation of FMC  Click or tap to enter a date. | | |
|  | Name of securities regulator regulating the FMC  Click or tap here to enter text. | | |
|  | Describe the portfolio being delegated, e.g. entire fund portfolio, equity portfolio  Click or tap here to enter text. | | |
|  | Please indicate whether the officer of the FMC is in compliance with paragraph 5.09(a) of the PRS Guidelines in relation to holding office as a member of the oversight function of any fund for which the FMC is appointed to manage: | | | |
|  | Yes | | |
|  | No – please indicate where in the cover letter the information on the relief from the PRS Guidelines (either being sought or have obtained) is provided –  Click or tap here to enter text. | | |
|  | Not applicable – Please tick (✓) where applicable - | | |
|  | The FMC is an ultimate holding company which wholly-owns the PRS Provider | |
|  | The FMC is a wholly-owned subsidiary of the PRS Provider | |
|  | The FMC and the PRS Provider are wholly-owned subsidiaries of the same ultimate holding company | |
|  | Please indicate whether the officer of the FMC is in compliance with paragraph 5.09(b) of the PRS Guidelines in relation to holding office as a member of the Shariah adviser of any fund for which the FMC is appointed to manage: | | | |
|  | Yes | | |
|  | No – please indicate where in the cover letter the information on the relief from the PRS Guidelines (either being sought or have obtained) is provided –  Click or tap here to enter text. | | |

## Notification on commencement of termination of a fund/class of units of a fund

|  |  |
| --- | --- |
|  | Name of fund, or for termination of class of units of a fund, the name of the class(es) of units of the fund:  Click or tap here to enter text. |
|  | Date of Termination Notice: Click or tap to enter a date. |
|  | Reason for termination[[18]](#footnote-18):  Click or tap here to enter text. |
|  | Where applicable, select the item below and provide the date –  members’ meeting where approval to terminate is obtained;  transfer scheme is to come into effect; or  court’s confirmation on unit holders’ resolution to terminate the fund.  Click or tap to enter a date. |
|  | Size of the fund (as at the latest practicable date prior to the Termination Notice)  Click or tap here to enter text. |
|  | Number of memers remaining in the fund (as at the latest practicable date prior to the Termination Notice)  Click or tap here to enter text. |
|  | Last date of sale of units: Click or tap to enter a date. |
|  | The copy of the Termination Notice is enclosed: |

*[The rest of this page is intentionally left blank]*

# RISK MANAGEMENT POLICY AND PROCEDURES OF A FUND

## Information on submission

1. The submission of the RMP documentation is in relation to –

|  |  |
| --- | --- |
|  | a proposed new PRS fund |
|  | an existing PRS fund |

1. Please indicate the applicable submission:

|  |  |
| --- | --- |
|  | First-time submission of the RMP documentation |
|  | Submission of updated RMP documentation   1. Date of initial submission: Click or tap to enter a date. 2. If the RMP documentation has been updated prior to this submission, the date of submission of the last update: Click or tap to enter a date. |

## Information on the fund

1. Name of fund/proposed fund: Click or tap here to enter text.
2. If the fund is an authorised fund, the date of unit holders’ approval to allow investment in new or higher risk investments: Click or tap to enter a date.

***Note:*** *Please ensure the necessary notification is submitted to the SC*

1. Types of new or higher risk investments. Please select the applicable investment(s) or activity(ies) that apply/ies to the fund:

|  |  |
| --- | --- |
|  | Investment in derivatives (other than for the sole purpose of hedging) |
|  | Investment in digital assets |
|  | Undertake securities lending activity |
|  | Undertake sale and repurchase transactions |
|  | Undertake reverse repurchase transactions |

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## Guidance and minimum content of RMP documentation

1. Overview on preparation of the RMP documentation
2. The RMP documentation should be a stand-alone document that includes all relevant information with appendices that are clear and understandable.
3. PRS Provider must comprehensively document the processes to identify, monitor, measure and manage the various risks associated with investments or activities in Part B of this Section.
4. The primary components of a sound risk management process are follows:
5. A comprehensive risk measurement approach;
6. A detailed structure of limits, guidelines and other parameters used to govern risk taking; and
7. A strong management information system for controlling, monitoring and reporting risks.
8. Guidance for a RMP documentation

***Note:*** *The items below are not exhaustive and should not be relied upon solely. Further, the SC may require further details be included when deem necessary.*

|  | **Content Item** | **Section/ Item No.** | **Page** | **Remark** |
| --- | --- | --- | --- | --- |
| **Investment in derivatives (FDI)** | | | | |
|  | Details of all FDI to be used by the fund, the purpose of the use and the risks the FDI might pose to the fund | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the valuation and pricing methodology for FDI | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the risk management processes and systems used in relation to FDI | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details of the units and personnel responsible for risk management | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of systems and technology used, including description of stress testing and back testing methodologies | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details of the contingency plans regarding credit events of the counterparty | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details on PRS Provider’s policies on expertise required to trade FDI as well as manage their related risks including how they are monitored and validated | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description on how the relevant requirements in the PRS Guidelines are adhered to including ensuring the fund is able to meet its payment and delivery obligations incurred resulting from the transactions in FDI, whether for hedging or for investment purposes | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Securities lending, sale and repurchase transactions and reverse repurchase transactions (collectively referred to as “securities financing transaction”)** | | | | |
|  | Parties involved: Borrower’s agent, borrower, and lending agent | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Purpose of the transaction(s) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Term of the securities financing transaction arrangement: borrowing tenure, rate, amount in monetary value, securities details (units and code) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the collateral received from borrower including type, issuer rating, amount, fair value method to price the collateral | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the method in determining the borrowing rate | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of how the collateral is custodised | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of risk assessment process including the analysis of risk on the securities financing transaction arrangement (credit risk, liquidity risk, interest rate risk, maturity risk profile) | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of how the company’s policies adhere to the relevant guidelines relating to securities financing transaction | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Risk management policy and process in executing securities financing transaction | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Investment in digital assets** | | | | |
|  | Description of the valuation and pricing methodology for digital assets, and the basis in selecting the valuation method | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the risk management processes and systems used in relation to digital assets, including the type of system (whether it is investment management system, valuation system, accounting system and etc.) being used | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details of the units and personnel responsible for risk management | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details of the PRS Provider’s policies on expertise required to trade digital assets as well as manage their related risks including how they are monitored and validated | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the risk management process in assessing the digital asset exchanges in which the digital assets will be traded | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of how the digital assets are custodised | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Description of the company’s policies in complying with the relevant guidelines on digital assets | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Risk management policy and process in executing investment in digital assets | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Others** | | | | |
|  | Details on liquidity risk management policies and procedures, which should –   1. cover the entire life cycle of the fund; 2. be reviewed regularly and updated as and when there are material changes.   *Examples of material changes are investments into new asset class, substantial change of liquidity profile of a fund, etc.* | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
|  | Details on credit risk management | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

*[The rest of this page is intentionally left blank]*

## Documents required to be submitted to the SC

|  |  |  |
| --- | --- | --- |
| **Documents** | | **SC’s internal use** |
| Cover letter, specifying the following: | |  |
|  | The submission of a RMP documentation for a fund |  |
|  | Details of pre-consultation with the SC (see Introduction & Instructions) |  |
|  | An acknowledgement that the receipt or acceptance of the RMP documentation by the SC does not represent that the SC endorses the document |  |
|  | Information as required in item 3) of the Introduction & Instructions for these PRS Forms |  |
|  | RMP documentation |  |
|  | Section L of these PRS Forms |  |
|  | For a submission of an update to RMP documentation, the list of amendments |  |

*[The rest of this page is intentionally left blank]*

1. This option apply to a fund in a Scheme that offers target date funds [↑](#footnote-ref-1)
2. REIT means real estate investment trust [↑](#footnote-ref-2)
3. For a country-specific government bond/FI fund, please also provide details in Part B – Appendix IV of this Section. [↑](#footnote-ref-3)
4. Per item 14 of the Introduction & Instructions for these PRS Forms, PRS Providers **should consult the SC prior to making the submission** of the RMP documentation, and information pertaining to investment in new or higher risk investments as listed in Part B of Section L can only be reflected in the fund’s deed or disclosure document **after the SC’s clearance has been obtained** for the submission of the RMP documentation. [↑](#footnote-ref-4)
5. If the fund may invest in warrants or convertible securities, question 7 apply [↑](#footnote-ref-5)
6. If the fund management function may be undertaken internally and by an external fund manager (e.g. investments for liquid assets will be carried out internally but investment of other investment instruments will be carried out externally), please tick both checkboxes. [↑](#footnote-ref-6)
7. Exception to this question is only provided for target fund that is a ‘physically-backed metal ETF’ as defined in the PRS Guidelines. [↑](#footnote-ref-7)
8. If the use of derivatives is for more than one (1) purposes, please indicate all the purposes. [↑](#footnote-ref-8)
9. Please ensure the stamp certificate is attached to the deed as evidence of stamping and to re-submit the complete deed in a single PDF document. [↑](#footnote-ref-9)
10. The letter from the Scheme Trustee must be prepared in accordance with item 3) of the General instructions [↑](#footnote-ref-10)
11. Once the deed is stamped, the submission of the stamped deed must be accompanied by a cover letter that is prepared in accordance with item 3) of the General instructions [↑](#footnote-ref-11)
12. Per item 14 of the Introduction & Instructions for these PRS Forms, PRS Providers **should consult the SC prior to making the submission** of the RMP documentation, and information pertaining to investment in new or higher risk investments as listed in Part B of Section L can only be reflected in the fund’s deed **after the SC’s clearance has been obtained** for the submission of the RMP documentation. [↑](#footnote-ref-12)
13. Per item 14 of the Introduction & Instructions for these PRS Forms, PRS Providers **should consult the SC prior to making the submission** of the RMP documentation, and information pertaining to investment in new or higher risk investments as listed in Part B of Section L can only be reflected in the fund’s deed **after the SC’s clearance has been obtained** for the submission of the RMP documentation. [↑](#footnote-ref-13)
14. Please state the **fund’s name** under the Remark column [↑](#footnote-ref-14)
15. Please indicate the **report type** (annual or semi-annual) under the Remark column [↑](#footnote-ref-15)
16. Please indicate in the **financial year/period end** under the Remark column [↑](#footnote-ref-16)
17. Please state the **auditor’s name** under the Remark column *(apply only to report where the financial statements of the fund are audited)* [↑](#footnote-ref-17)
18. Please explain the reason for terminating the fund or class of units of the fund, for example:

    The fund has reached its maturity

    The class or fund has left with no assets and/or no unit holders, and to explain the reason that led to the fund/class to have no assets and/or no unit holders

    Non-commencement of the fund, and to explain on what is the reason for the non-commencement of the fund

    Unit holders’ approval have been obtained to terminate the fund/class, and to explain the background which led to the decision to seek for unit holders’ approval to terminate the fund

    Small fund size and no unit holders’ approval need to be obtained for terminating the fund/class, and to explain the reason that resulted in the small fund size and under which provisions in the deed of the fund that a management company can terminate the fund/class [↑](#footnote-ref-18)