

APPENDIX - Managed Investment Schemes (MIS)

**FREQUENTLY-ASKED QUESTIONS
ON DEALINGS WITH THE SC'S MANAGED INVESTMENT SCHEMES DEPARTMENT DURING MCO
(Date of Issuance: 30 March 2020)
(Date of Update: 20 April 2020)**

No.	Question	Answer	Date Included/ Updated
1	Can the SC accept electronic submissions during the Movement Control Order (MCO)?	<p>Yes, during the MCO, the following must be submitted to the SC electronically:</p> <ul style="list-style-type: none"> (a) Applications (including applications for new funds, registration of prospectuses and deeds, relief applications, extension of time etc); (b) Lodgements of offering documents, deed and product highlights sheet; (c) Notifications; (d) Interim and annual reports of a fund; and (e) Advertisement and promotional materials of a fund. <p>The electronic submission should be in a text-searchable format (PDF-text) and sent via email to MISsubmissions@seccom.com.my (up to 10MB in size per email) together with a confirmation* that the electronic copy is identical to the physical copy that will be delivered to the SC. All applications under the Expedited Authorisation Process should continue to be sent to eap@seccom.com.my</p> <p>The physical copy must be submitted to the SC within 5 market days after the MCO is lifted.</p> <p><i>* to be incorporated in the cover letter that is duly signed by the authorised signatory(ies) as required in the respective guidelines.</i></p>	20 April 2020

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		<p><u>SC Application Forms and Checklists ("SC Forms")</u></p> <p>To reduce the operational challenges faced during MCO, the SC Forms (both electronic and physical copies), may be submitted to the SC without being signed if a declaration that the information contained in the SC Forms are true, complete and accurate, is included in the signed cover letter.</p>	
2	Will the SC accept digital signatures during the MCO?	No, digital signatures will not be accepted.	30 March 2020
3	<p>If I am not able to get the deed or supplemental deed (Deed) of a unit trust fund/ real estate investment trust fund/ exchange-traded fund/ private retirement scheme fund stamped during the MCO, will the SC accept the application to register a Deed that is not stamped?</p> <p>What about wholesale funds?</p>	<p>Yes, the SC will accept the application, provided a duly executed deed is submitted together with an undertaking from the management company or PRS provider, as the case may be, that the stamped copies of the said Deed will be submitted to the SC as soon as practicable once the Stamp Duty Branch Office has resumed operations (Undertaking Letter).</p> <p>For wholesale funds, fund management companies are to send the Undertaking Letter to MISsubmissions@seccom.com.my prior to lodgement of the unstamped executed deed via the LOLA system. Fund management companies should lodge the stamped deed as soon as practicable once the Stamp Duty Branch Office has resumed operations by way of a revision through the LOLA system*.</p> <p><i>* Please note that the lodgement of a revision after the launch of the fund does not attract a fee.</i></p>	30 March 2020
4	Can I still pay the requisite fee via a crossed cheque/draft order?	<p>No, as we are accepting electronic submissions, the fees for the relevant submissions must be made via online transfer to the following account:</p> <p>Account Name: Suruhanjaya Sekuriti Malaysia / Securities Commission Malaysia</p>	30 March 2020

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		<p>Bank Name: Malayan Banking Berhad Account No : 014329 309987 <i>Reference Number : GB0004953N (in place of company registration number if required)</i></p> <p>On Successful payment, please email the following details to: fpcollection@seccom.com.my</p> <ul style="list-style-type: none">• Purpose of payment• Payment advice• Copy of the confirmation of online transfer <p>You are also required to ensure a copy of the confirmation of online transfer is attached with the fee computation checklist that is to be submitted with the submission bundle, respectively.</p>	

Note: This document will be updated from time to time during the MCO.