

Schedule F

REPORTING TO THE SECURITIES COMMISSION MALAYSIA

General

- (1) For the purpose of reporting to the SC, a management company must submit a Statistical Return and Compliance Return (collectively referred to as “UTF Returns”) of the fund. The UTF Returns must be submitted on a monthly basis, via a system as may be specified by the SC.
- (2) The reporting period must cover the period starting from the first day until the last day of the respective month. For information required at a certain cut-off, it must be as at the last day of the month.
- (3) For a newly-established unit trust fund, the UTF Returns must commence from the month in which the fund’s initial offer period ends. For example, if a fund was launched on 28 June and the initial offer period ends on 18 July, the first UTF Returns must be submitted for the month of July. In this instance, the UTF Returns will consist of data for more than one month, i.e. from 28 June to 31 July.
- (4) A management company must take all necessary precautions to ensure that the information provided in the UTF Returns is accurate.
- (5) The chief executive officer is ultimately responsible for all information submitted to the SC. The chief executive officer is expected to ensure that the necessary policies and procedures are in place and the information submitted to the SC is true, complete and accurate.
- (6) The Compliance Return must be submitted to the trustee for verification that it is true, complete and accurate to the best of the trustee’s knowledge and belief.

- (7) A management company must keep a printed copy of the UTF Returns at the business address of the management company or a designated place approved by the SC at all times for a period of seven years from the date of submission.
- (8) A management company must ensure that the particulars in the printed copy of the UTF Returns and that submitted to the SC are identical.
- (9) The SC reserves the right to conduct an examination at the business address or at the designated place to ensure compliance with paragraphs (7) and (8).

Submission of UTF Returns

- (10) The deadline for submission of UTF Returns are as follows:
 - (a) The Statistical Returns must be submitted within seven business days; and
 - (b) The Compliance Returns must be submitted within 14 business days, (by 5.00 pm on a weekday) of the month following the month of reporting.
- (11) The Compliance Returns must only be submitted to the SC after trustee's verification.
- (12) The SC considers the UTF Returns submitted via the system as final.
- (13) Should there be errors or omissions discovered after the submission has been made, the management company must immediately make the rectification and submit the amended UTF Returns to the SC.

Submission of UTF Returns during termination

- (14) While a fund is being terminated, a management company must continue to submit UTF Returns until the termination is complete.

Submission of Compliance Review Report

- (15) Where there is a notification of non-compliance upon the submission of the Compliance Returns via the system, the management company must provide an explanation for the non-compliance and the action to be taken to rectify the matter in a Compliance Review Report.
- (16) The Compliance Review Report must be submitted to the SC not later than seven business days from the date of submission of the Compliance Returns.