



SEC/HYR

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SECURITIES & EXCHANGE COMMISSION
COLLECTIVE INVESTMENT SCHEMES DEPARTMENT
HALF YEARLY RETURNS FORM FOR UNIT TRUST SCHEMES FUND MANAGERS

AS AT

Section I – General Information

- 1) Name of Scheme: _____
- 2) Investment Objective _____

- 3) Name of Fund Manager: _____
- 4) Name of Trustee: _____
- 5) Name of Custodian: _____
- 6) Name of Registrar: _____
- 7) Auditors of the Fund: _____
- 8) Period of Engagement: _____
- 9) Date of Commencement of Fund: _____
- 10) Initial Subscription and Unit Price: _____

11) Funds Financial Year End: _____

12) Number & Nature of Complaints raised during the period under review: _____

13) Number resolved: _____

Section II – Corporate Governance

Report on Risk Management during the Reporting Period:

State any Related Party Transactions and Mitigants during the Reporting Period

Investment Committee:

i) Are there any changes in the composition of the Committee? _____

ii) If yes, state reasons: _____

iii) State any changes to the members of Investment Committee from the Last Reporting

Period: _____

iv) Identify State any changes to independent members of Investment Committee and any

Changes from the Last Reporting Period: _____

v) Number of Investment Committee meetings during the period under review: _____

AGM/EGM

i) State the date of fund's last AGM /EGM (if any): _____

ii) Number of Unitholders & proxies present and their holdings: _____

iii) Nature of Complaints lodged at the AGM/EGM (if any): _____

iv) Response given: _____

UNIT/ UNITHOLDERS/REDEMPTIONS

i) Number of Unit Holders at inception: _____

ii) Present Number of Unit and Unit Holders: _____

iii) Number of Unit and Unit Holders in previous period: _____

iv) Number of nominee unit holders in previous period: _____

v) Number of nominee Unit holders in current period: _____

vi) List unit holders with 5% and above: _____

vii) Number of Redemption: _____

viii) Value of Redemption: _____

E-DIVIDENDS

i) Has the Fund commenced e-dividend payment Yes/No

ii) If No, strategies to do so: _____

iii) Number of Unitholders receiving E-dividend: _____

SECTION III – FINANCIAL REPORTING

1. Fund’s Performance

2. Fund’s Future Outlook

3. Accounting Policies

4. Interim Report

Condensed Income Statement:

Financial Performance	Current period (N)	Previous period (N)
Total Income		
Total Expenses		
Taxation		
Net Income after Tax		

(Previous period relates to same period in the previous year)

Condensed Statement of Financial Position (Balance Sheet)

Financial Position	Current period (N)	Previous period (N)
Asset		
Liabilities		
NAV		
Capital & Reserves		

(Previous period relates to previous year end)

Condensed Statement of Cash flow

Cash flow	Current period (N)	Previous period (N)
Cash flow from Operating activities		
Cash flow from Investing activities		
Cash flow from Financing activities		
Cash and Cash Equivalents		

(Previous period relates to same period in the previous year)

Condensed Statement of Changes in Equity

	Current period (N)	Previous period (N)
NAV as at beg of period		
Additions		
Redemptions		
Dividend Paid		
Subtotal		
Profit for the period		
Fair Value reserves		
NAV as at end of period		

(Previous period relates to same period in the previous year)

NOTES TO THE ACCOUNT

1. Breakdown of Total Income
2. Breakdown of total expenses
 - i) Computation of fees (FM, Trustees, Custodian, Registrar, Auditor)
 - ii) Other Expenses
3. Breakdown of Asset
 - i) Cash & Bank balances
 - ii) Investments
4. Breakdown of Liabilities.
5. Disclosure of Unclaimed Dividend:
 - i) Balance at Bank *as at*
 - ii) Investments (***made***) and *Earned Income*
 - iii) Efforts to reduce unclaimed Dividend
6. Disclosure of Receivable (Dividend, Interest and Rentals)
 - i) Entity
 - ii) Amount.....
 - iii) Age
7. Any Penalty/Sanction paid during the year under review: _____
8. If yes, state nature of penalty and amount paid: _____

UNDERTAKING

All information provided herein is to the best of our knowledge true. We take responsibility for any contradictory information given by us.

Material variations would be considered as fraudulent misrepresentation

Fund Manager

Name: _____

Sign/Stamp: _____

(To be signed by MD/CEO and CFO)