

## DISCLOSE REGISTER KEY LEGISLATIVE REFERENCES GUIDE - MANAGED FUND INVESTMENT SCHEME

<sup>1</sup> All references in this table are to the Financial Markets Conduct Regulations 2014 (FMCR), the Financial Markets Conduct Act 2013 (FMC Act), and the Financial Markets Conduct (Asia Region Funds Passport) Regulations 2019 (FMCR ARFP).

Field label	Field help text	Key legislative references <sup>1</sup>
<b>SCHEME</b>		
<b>Scheme description</b>		
Scheme name	Enter the name of the scheme as specified by the governing document.	<a href="#">Regulation 79(2)(a) FMCR</a>
Managed fund subtype	<Select the type or types of scheme>	<a href="#">Regulation 79(2)(b) FMCR</a> <a href="#">Section 126(2)(e)(i) FMC Act</a>
Default KiwiSaver scheme	Select if the scheme is a default KiwiSaver scheme (KSS). See Regulation 79(2)(c) of FMCR.	<a href="#">Regulation 79(2)(c) FMCR</a>
<b>Registering under exemption</b>		
Financial Markets Authority exemption	Select 'Yes' if the scheme will be registering in reliance on an exemption granted by FMA.	<a href="#">Regulation 79(2)(h) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a>
Financial Markets Authority exemption description	Enter the name of the exemption notice issued by FMA.	<a href="#">Regulation 79(2)(h) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a>
<b>Scheme financial reporting date</b>		
Scheme financial reporting balance date - day	Select the day of the scheme's balance date.	<a href="#">Regulation 79(2)(i) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a>
Scheme financial reporting balance date - month	Select the month of the scheme's balance date.	<a href="#">Regulation 79(2)(i) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a>

Fund update reporting date	<p>If the scheme is a restricted, legacy or closed workplace savings scheme, select whether the manager will make a fund update for each fund in that scheme publicly available within 3 months after either the last day of each disclosure year or the balance date of the scheme in each year.</p> <p>If a scheme is a defined benefit scheme in which contributions are allocated on a defined basis to any member, select the 56(2A) option.</p>	<p><a href="#">Regulation 56(2) FMCR</a> <a href="#">Section 97 FMC Act</a></p>
Assets of fund available to meet liabilities of other funds in scheme	Select 'Yes' if the assets of a fund within the scheme are legally available to meet the obligations or liabilities of any other fund in the scheme.	<p><a href="#">Regulation 79(2)(l) FMCR</a></p>
<b>PARTICIPANTS</b>		
<p>Participant type</p> <ul style="list-style-type: none"> <li>○ Company</li> <li>○ Credit Union, overseas issuer...</li> <li>○ Individual, partnership, other...</li> </ul>	<p>Select "Company" if participant is on the NZ Companies Register.</p> <p>Select "Credit Union, overseas issuer..." if participant is on another register maintained by the Companies Office.</p> <p>Select "Individual, partnership, other..." if participant is on the Other participants directory.</p>	<p><a href="#">Regulation 79(2)(d) FMCR</a></p>
Participant name	<Select the manager, supervisor (or independent trustee), and each custodian that is not the supervisor (other than a sub-custodian), as applicable.>	<p><a href="#">Regulation 79(2)(d) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a> <a href="#">Cl 22 Sch 4 FMC Act</a></p>
<Manager, Supervisor> email	Enter the email address for receiving notifications from the Registrar.	<p><a href="#">Regulation 79(2)(f) and (g) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a> <a href="#">Cl 22 Sch 4 FMC Act</a></p>
FSP number	Enter the financial service providers (FSP) registration number of the manager, supervisor/independent trustee, and each custodian (as applicable).	<p><a href="#">Regulation 79(2)(e) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a> <a href="#">Cl 22 Sch 4 FMC Act</a></p>
Registration number of participant in country of origin	Enter the number under which the participant is incorporated, formed or established (if done so in a jurisdiction outside New Zealand).	<p><a href="#">Regulation 79(2)(d) FMCR</a> <a href="#">Cl 15 Sch 1 FMCR</a> <a href="#">Cl 22 Sch 4 FMC Act</a></p>

This scheme is registered as a passport fund in respect of one or more of its sub-funds	Select 'Yes' if the scheme is registered as a passport fund in respect of one or more of its sub-funds.	<a href="#">Regulation 63B FMCR</a>
Funds Passport ID	If this scheme is registered as a passport fund in respect of one or more of its sub-funds, enter the Funds Passport ID.	<a href="#">Regulation 63B FMCR</a>
Countries into which the Passport Fund has completed the entry process	If this scheme is registered as a passport fund in respect of one or more of its sub-funds, select all the countries into which the Passport Fund has completed the entry process.	<a href="#">Regulation 63B FMCR</a>
Manager's website	If the manager maintains a website, enter the internet address of the website.	Optional
Is register of regulated products kept at same place as registered office	Select 'Yes' if the register of regulated products is kept at the registered office of the issuer. If not, select 'No' and complete the address details for the place where the register is kept.	<a href="#">Section 220 FMC Act</a>
<b>DOCUMENTS</b>		
Governing documents	Upload the governing deed entered into in respect of the scheme. Documents should be uploaded in a searchable .pdf format.	<a href="#">Section 126(2)(c) FMC Act</a>
Manager and supervisor consent	Upload the manager and supervisor consent to the registration of the scheme. See section 126 of the FMC Act.	<a href="#">Section 126 (2)(b) FMC Act</a>
Manager and supervisor certificate	Upload the manager and supervisor certificate to the effect that the scheme complies with the registration requirements. See section 126 of the FMC Act.	<a href="#">Section 126(2)(d)FMC Act</a>
Statement of investment policy and objectives (SIPO)	Upload a copy of the current statement of investment policy and objectives (SIPO) for the scheme (see section 166(1) of the FMC Act and cl 15(k) Sch 1 FMCR) or a notice of SIPO availability (see Regulation 93 FMCR).	<a href="#">Section 166(1) FMC Act</a> <a href="#">Cl 15(k) Sch 1 FMCR</a> <a href="#">Regulation 93 FMCR</a>
FMA certificate	Upload certificate from the FMA that it is satisfied the scheme complies with any additional registration requirements for the scheme type if required by sections 128 to 132 of the FMC Act.	<a href="#">Section 126(2)(e)(iii) FMC Act</a>

Passport Fund Description	Enter a description of the content of the document. The description should enable the material content of the document to be easily identified	<a href="#">Regulation 63B FMCR</a>
Passport Fund Document(s)	Upload the fund passport documents that comply with the requirements of the FMCR ARFP	<a href="#">Regulation 63B FMCR</a>
Scheme financial statement(s)	Upload the scheme financial statements (including auditor's report) that comply with the requirements of the FMCR.	<a href="#">Regulation 79(2)(j) FMCR</a>
Interim scheme financial statement(s)	Upload the interim scheme financial statements (including auditor's report) that comply with the requirements of the FMCR.	<a href="#">Regulation 79(2)(j) FMCR</a>
Amended scheme financial statement(s)	Upload any amended scheme financial statements (including auditor's report) that may be required by the FMCR.	<a href="#">Regulation 79(2)(j) FMCR</a>
General scheme document	Upload general scheme documents	-
Annual report	Upload the annual report for the scheme for the most recently completed accounting period.	<a href="#">Regulation 79(2)(k) FMCR</a>

**Note:** The information contained in the key legislative references guide is provided for guidance only and is not intended to provide a comprehensive or complete source of information or advice. The Registrar of Financial Service Providers and the Companies Office do not accept any responsibility for the provision of any incorrect or incomplete information and disclaim any liability arising from the use of the information.

Users of this website should take specific advice from professional advisors before entering information into the Disclose Register or undertaking any action in reliance on information received from this website or the Disclose Register. Users should not rely on this website as a source of legal or other expert advice.