

DISCLOSE REGISTER KEY LEGISLATIVE REFERENCES GUIDE – OTHER MANAGED INVESTMENT SCHEME

¹ All references in this table are to the Financial Markets Conduct Regulations 2014 (FMCR) and the Financial Markets Conduct Act 2013 (FMC Act).

Field label	Field help text	Key legislative references ¹
SCHEME		
Scheme description		
Scheme name	Enter the name of the scheme as specified by the governing document.	Regulation 79(2)(a) FMCR
Managed investment scheme subtype	<Select the type of scheme>	Regulation 79(2)(b) FMCR
Registering under exemption		
Financial Markets Authority exemption	Select 'Yes' if the scheme will be registering in reliance on an exemption granted by FMA.	Regulation 79(2)(h) FMCR
Financial Markets Authority exemption description	Enter the name of the exemption notice issued by FMA.	Regulation 79(2)(h) FMCR
Scheme financial reporting date		
Scheme financial reporting balance date - day	Select the day of the scheme's balance date.	Regulation 79(2)(i) FMCR
Scheme financial reporting balance date - month	Select the month of the scheme's balance date.	Regulation 79(2)(i) FMCR
PARTICIPANTS		
Participant type	Select "Company" if participant is on the NZ Companies Register. Select "Credit Union, overseas issuer..." if participant is on another register maintained by the Companies Office.	Regulation 79(2)(d) FMCR
<ul style="list-style-type: none"> ○ Company ○ Credit Union, overseas issuer... ○ Individual, partnership, other... 		

	Select "Individual, partnership, other..." if participant is on the Other participants directory.	
Participant name	Select manager, supervisor, custodian as applicable	Regulation 79(2)(d) FMCR Cl 15 Sch 1 FMCR Cl 22 Sch 4 FMC Act
<Manager, Supervisor> email	Enter the email address for receiving notifications from the Registrar.	Regulations 79(2)(f) and (g) FMCR
FSP number	Enter the [manager/supervisor/custodian]'s registered financial service providers registration number.	Regulation 79(2)(e) FMCR
Manager's website	If the manager maintains a website, enter the internet address of the website.	-
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).	Regulation 79(2)(d) FMCR Cl 22 Sch 4 FMC Act
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.	Section 220 FMC Act
DOCUMENTS		
Governing documents	Upload the governing deed entered into in respect of the scheme. Documents should be uploaded in a searchable .pdf format.	Section 126(2)(c) FMC Act
Manager and supervisor consent	Upload the manager and supervisor consent to the registration of the scheme. See section 126 of the FMC Act.	Section 126(2)(b) FMC Act
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.	Section 126(2)(b) FMC Act
Statement of investment policy and	Upload a copy of the current statement of investment policy and objectives (SIPO) for the scheme	Section 166(1) FMC Act

objectives	(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).	Cl 15(k) Sch 1 FMCR Regulation 93 FMCR
Scheme financial statement(s)	Upload the scheme financial statements (including auditor's report) that comply with the requirements of the FMCR.	Regulation 79(2)(j) FMCR
Interim scheme financial statement(s)	Upload the interim scheme financial statements (including auditor's report) that comply with the requirements of the FMCR.	Regulation 79(2)(j) FMCR
Amended scheme financial statement(s)	Upload any amended scheme financial statements (including auditor's report) that may be required by the FMCR.	Regulation 79(2)(j) FMCR
General scheme document	Upload general scheme documents	-
Annual report	Upload the annual report for the scheme for the most recently completed accounting period.	Regulation 79(2)(k) FMCR

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.

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