

Checklist for NRI CIS Application Form

Name of NRI CIS: _____

Name of CIS Operator: _____

Home Jurisdiction: _____

- 1. Form 69 – CIS full (*completed by CIS Operator*)
- 2. Evidence demonstrating that NRI CIS is legally established under the law of Home Regulator’s jurisdiction
(*issued by Home Regulator*)
- 3. Evidence on the appointment of a brokerage firm to perform duty as local intermediary in Thailand
(*issued by CIS Operator*)
- 4. Evidence on the appointment of a local representative in Thailand as the agent of CIS Operator
(*issued by CIS Operator*)
- 5. Evidence on the appointment of an authorised person of CIS Operator
(*issued by CIS Operator*)
- 6. A document demonstrating that the investment policy and product restrictions of NRI CIS are in accordance with those specified by the Notification of the SEC Thailand related to investment of the mutual fund
(*issued by CIS Operator*)
- 7. Master fund’s prospectus and fact sheet/ product highlight sheet
(required only in case of feeder fund)
- 8. A document demonstrating a comparison between the laws and regulations of Home and Host regulators relating to management of NRI CIS
(*issued by CIS Operator*)
- 9. A fee of THB100,000 (VAT exclusive)
 - Bank draft / Cheque / Cash
 - Receipt of money transfer
- 10. Other supporting documents (please specify)

Please print this checklist and include it in the package of this form

NRI CIS Application Form

**To: Secretary-General
Securities and Exchange Commission, Thailand**

Re: Application to offer NRI CIS to non-retail investors in Thailand

I/We _____ as an operator of
(name of the Operator of the NRI CIS)

_____ hereby notify the Securities and
(name of the NRI CIS)

Exchange Commission of Thailand of our intention to offer the NRI CIS to non-retail investors in Thailand. In this regard, I/We have completed the application form and enclosed all relevant documents in support of this application (if applicable).

Part A: Fund Information

1) Name of NRI CIS: _____

2) Home Jurisdiction: _____

3) Home Regulator: _____

4) Legal form of NRI CIS:

- legal entity¹ unit trust any other structure acceptable to participating jurisdictions

5) Is the NRI CIS a sub-fund of an umbrella fund?

- Yes No

If “Yes”, please state the name of the umbrella fund

¹ **Legal entity** refers to the legal form of Thai CIS. CIS in Thailand is set up as a legal entity separate from the CIS Operator. In short, after obtaining approval from the Thai SEC to set up a mutual fund and offer investment units to investors, the money received from such offer shall constitute a pool of assets that is required to be registered as a mutual fund with the Thai SEC.

6) Is the NRI CIS authorised/approved by its Home Regulator?

Yes No

If “Yes”, is the NRI CIS authorised/approved for the offer to non-retail or retail investors in Home Jurisdiction?

Non-retail investors Retail investors

7) Has the NRI CIS been offered in the Home Jurisdiction?

Yes No

If “No”, please specify the expected commencement of the offer of NRI CIS

If “Yes”, please state the AUM as at the latest practicable date

8) Please provide the investment objective/policy of the NRI CIS:

Part B: Information on CIS Operator

9) Name of the CIS Operator: _____

10) Home Jurisdiction of the CIS Operator: _____

11) Home Regulator of the CIS Operator: _____

12) Address of registered office:

Company’s website: _____

13) Details of contact person at the CIS Operator:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

14) Is the CIS Operator currently licensed or authorised to conduct fund management in the jurisdiction of its principal place of business?

Yes No

If “No”, please specify _____

15) Number of years the CIS Operator has managed funds : _____

Total assets under management (latest available figures):

in Home Jurisdiction _____

offered cross-border _____

Total _____

As at (date) _____

Part C: Distribution of NRI CIS and CIS Operator’s local representative

Arrangement for distribution

16) Units in NRI CIS will be offered/ marketed in Thailand by the following intermediaries who are licensed or regulated by the SEC Thailand :

- Management company
- Licensed bank/ Financial institution
- Licensed securities company
- Licensed institution/ Corporation/ Organisation (e.g. insurance company)
- Other bodies (Please provide details: _____)

Please specify the name and address of the distributor (please use an enclosure if there is more than one distributor):

17) Details of contact person:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

To be notified at a date no later than _____

Representative

18) Name of proposed representative in Thailand:

19) Is such representative regulated by or acceptable to the SEC Thailand?

Yes No

Registered office and the address:

20) Details of contact person:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

21) Details of where and how unit prices will be published:

Part D: Trustee/ Fund supervisor

22) Name of Trustee/ Fund supervisor:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part E: Custody of Assets

Same as Trustee/Fund supervisor No [if “No”, please provide further information below]

23) Name of custodian:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part F: Declaration

I/We certify the following:

1. I/We am/are under supervision of Home Regulator which has the authority to impose sanctions or to order the CIS operator to act or refrain from acting in case there is an action which may cause damages to the interest of the investors.

Yes No

If “No”, please specify _____

2. I/We am/are not currently being subject to any suspension or revocation order or action by Home Regulator regarding the license or business activities.

Yes No

If “No”, please specify _____

3. I/We have not had any record of violation of the laws or regulations of Home Jurisdiction in matters relating to the disclosure of material information to investors or Home Regulator, and have not failed to submit such material information to investors or Home Regulator.

Yes No

If “No”, please specify _____

4. I/We affirm that the offering document and the information of the NRI CIS being disclosed and distributed to investors in Home Jurisdiction will be disclosed and distributed without delay to investors in Thailand.

Yes No

If “No”, please specify _____

5. I/We affirm that the units of the NRI CIS have been or would be offered for sale in Home Jurisdiction, and have not been the subject of any banning or prohibition order of sale by Home Regulator.

Yes No

If “No”, please specify _____

6. I/We affirm that units of NRI CIS will be offered entirely to non-retail investors, including institutional, high net worth and ultra-high net worth investors whose qualifications are as specified by the SEC Thailand.

Yes No

If “No”, please specify _____

I/We have duly examined the information contained in this application form hereto and declare that to the best of our knowledge and belief all information given in this application form and the documents enclosed are true, accurate and complete. The text of each document is the same as that previously submitted to the Home Regulator, and is an accurate translation of that text (where applicable). In this regard, as evidence that each and every page of the documents is of the exact documents to which I/we have certified, I/we have also signed an initial or a signature on each and every page of the document and the amendments thereto. Accordingly, any document without my/our initial or signature shall not be regarded as the information to which I/we have certified.

Dated this _____ day of _____ 20____ .

Signature: _____

(full name)

(company)

(* The application form shall be signed either by the CIS Operator of the NRI CIS or an authorised signatory of the Operator of the NRI CIS. The person who signs shall state his/her full name and capacity, and shall ensure the declaration is dated.)

Checklist for ASEAN CIS Application Form

Name of ASEAN CIS: _____

Name of Qualifying CIS Operator: _____

Home Jurisdiction: _____

- 1. Form 69 – CIS full (*completed by Qualifying CIS Operator*)
- 2.* Standard letter issued by the Home Regulator to a Qualifying CIS Operator (as per Appendix I of the Handbook for CIS Operators of ASEAN CISs)
- 3* ASEAN CIS Application Form (as per Appendix II of the Handbook for CIS Operators of ASEAN CISs)
- 4.* Undertaking to submit to the non-exclusive jurisdiction of the Host Jurisdiction's courts (as per Appendix III of the Handbook for CIS Operators of ASEAN CISs)
- 5. Evidence on the appointment of a brokerage firm to perform duty as local intermediary in Thailand (*issued by Qualifying CIS Operator*)
- 6. Evidence on the appointment of a local representative in Thailand as the agent of the Qualifying CIS Operator (*issued by Qualifying CIS Operator*)
- 7. Evidence on the appointment of an authorised person of the Qualifying CIS Operator (*issued by Qualifying CIS Operator*)
- 8. Master fund's prospectus and fact sheet/ product highlight sheet (required only in case of feeder fund)
- 9. A fee of THB100,000 (VAT exclusive)
 - Bank draft / Cheque / Cash
 - Receipt of money transfer
- 10. Other supporting documents (*please specify*)

* Documents 2. – 4. are in the formats set out in Appendices of the Handbook for CIS Operators of ASEAN CISs.

Please print this checklist and include it in the package of this form

ASEAN CIS Application Form

**To: Secretary-General
Securities and Exchange Commission, Thailand**

Re: Application to offer ASEAN CIS publicly in Thailand

I/We _____ as an operator of
(name of the Qualifying CIS Operator)

_____ hereby notify the Securities and
(name of the ASEAN CIS)

Exchange Commission of Thailand of our intention to offer the ASEAN CIS to the public in Thailand. In this regard, I/We have completed the application form and enclosed all relevant documents in support of this application, including the completed ASEAN CIS Application Form (as per Appendix II of the Handbook for CIS Operators of ASEAN CISs) which contains information relating to ASEAN CIS, the Qualifying CIS Operator and its appointed distributors, representative, trustee and custodian.

I/We hereby certify the following:

- I/We am/are under supervision of Home Regulator which has the authority to impose sanctions or to order the Qualifying CIS Operator to act or refrain from acting in case there is an action which may cause damages to the interest of the investors.

Yes No

If “No”, please specify _____

- I/We am/are not currently being subject to any suspension or revocation order or action by Home Regulator regarding the license or business activities.

Yes No

If “No”, please specify _____

3. I/We have not had any record of violation of the laws or regulations of Home Jurisdiction in matters relating to the disclosure of material information to investors or Home Regulator, and have not failed to submit such material information to investors or Home Regulator.

Yes No

If “No”, please specify _____

4. I/We affirm that the offering document/prospectus and the information of the ASEAN CIS will be disclosed and distributed to investors in Thailand within the same period as having the duty to disclose and distribute such information to investors in Home Jurisdiction.

Yes No

If “No”, please specify _____

5. I/We affirm that the ASEAN CIS is completely in compliance with Part I : Qualifications of the CIS Operator, Trustee/ Fund Supervisor, and requirements relating to Approval, Valuation, and Operational Matters and Part II : The Product Restrictions of Qualifying CIS as prescribed in Appendix C : Standards of Qualifying CIS of the Memorandum of Understanding on Streamlined Authorisation Framework for Cross-border Public Offers of ASEAN Collective Investment Schemes (“MOU”), and is under supervision of Home Regulator who is signatory to the MOU.

Yes No

If “No”, please specify _____

6. I/We affirm that the units of the ASEAN CIS have been or would be offered for sale in Home Jurisdiction, and have not been the subject of any banning or prohibition order of sale by Home Regulator.

Yes No

If “No”, please specify _____

I/We have duly examined the information contained in this application form hereto and declare that to the best of our knowledge and belief all information given in this application form and the documents enclosed are true, accurate and complete. The text of each document is the same as that previously submitted to the Home Regulator, and is an accurate translation of that text (where applicable). In this regard, as evidence that each and every page of the documents is of the exact documents to which I/we have certified, I/we have also signed an initial or a signature on each and every page of the document and the amendments thereto. Accordingly, any document without my/our initial or signature shall not be regarded as the information to which I/we have certified.

Dated this _____ day of _____ 20____ .

Signature: _____

(full name)

(company)

(* The application form shall be signed either by the Qualifying CIS Operator or an authorised signatory of the Qualifying CIS Operator. The person who signs shall state his/her full name and capacity, and shall ensure the declaration is dated.)

Checklist for Asia Region Funds Passport (ARFP) CIS Application Form

Name of ARFP Passport Fund: _____

Name of CIS Operator: _____

Home Economy: _____

- 1. Form 69 – CIS full (*completed by CIS Operator*)
- 2. Evidence demonstrating that ARFP Passport Fund is legally established under the law of Home Regulator’s jurisdiction
(*issued by Home Regulator*)
- 3. Evidence on the appointment of a securities company to perform duty as local intermediary in Thailand
(*issued by CIS Operator*)
- 4. Evidence on the appointment of a local representative in Thailand as the agent of CIS Operator
(*issued by CIS Operator*)
- 5. Evidence on the appointment of an authorised person of CIS Operator
(*issued by CIS Operator*)
- 6. Master fund’s prospectus and fact sheet/ product highlight sheet
(required only in case of feeder fund)
- 7. A fee of THB100,000 (VAT exclusive)
 - Bank draft / Cheque / Cash
 - Receipt of money transfer
- 8. Other supporting documents (*please specify*)

Please print this checklist and include it in the package of this form

Asia Region Funds Passport (ARFP) CIS Application Form

**To: Secretary-General
Securities and Exchange Commission, Thailand**

Re: Application to offer ARFP Passport Fund publicly in Thailand

I/We _____ as an operator of
(name of the Operator of the ARFP Passport Fund)

_____ hereby notify the Securities and
(name of the ARFP Passport Fund)

Exchange Commission of Thailand of our intention to offer the ARFP Passport Fund to the public in Thailand. In this regard, I/We have completed the application form and enclosed all relevant documents in support of this application (if applicable).

Part A: ARFP Passport Fund Information

1) Name of ARFP Passport Fund: _____

2) Home Economy: _____

3) Home Regulator: _____

4) Legal Character of ARFP Passport Fund: _____

5) Type of ARFP Passport Fund:

- | | | |
|---|---------------------------------------|--|
| <input type="checkbox"/> Equity fund | <input type="checkbox"/> Fixed Income | <input type="checkbox"/> Multi-asset strategy/fund |
| <input type="checkbox"/> Money market fund | <input type="checkbox"/> Feeder fund | <input type="checkbox"/> Fund of Funds |
| <input type="checkbox"/> Exchange-traded fund | <input type="checkbox"/> Index fund | <input type="checkbox"/> Capital-guaranteed fund |
| <input type="checkbox"/> Any other type, please specify _____ | | |

6) Is the ARFP Passport Fund a sub-fund of a Regulated CIS?

- Yes No

If "Yes", please state the name of the Regulated CIS

7) Is the ARFP Passport Fund authorised/approved by its Home Regulator?

Yes No

8) Has the ARFP Passport Fund been offered to the general public in the Home Economy?

Yes No

If “Yes”, please provide the following details:

a) AUM as at the latest practicable date: _____

b) The investment objective/policy of the fund:

9) Is the ARFP Passport Fund intended to be offered publicly in the Home Economy?

(Please tick if your answer to question 8 is “No”.)

Yes No

If “Yes”, please specify the expected date of such public offer:

10) Are the requirements for the offer of the CISs in Home Economy satisfied those stipulated in section 17 of the Passport Rules? *(Please tick if your answer to question 9 is “No”.)*

Yes No

If “No”, please specify _____

Part B: Information on the Operator of the ARFP Passport Fund

11) Name of the CIS Operator: _____

12) Home Economy of the CIS Operator: _____

13) Home Regulator of the CIS Operator: _____

14) Address of principal place of business:

Company’s website: _____

15) Details of contact person at the CIS Operator:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

16) Is the Operator currently licensed or authorised to conduct fund management in the economy of its principal place of business?

Yes No

If “No”, please specify _____

17) Number of years the Operator has managed CISs that are offered to the general public: _____

Total assets under management (latest available figures):

in Home Economy _____

offered cross-border _____

Total _____

As at (date) _____

Part C: Distribution of ARFP Passport Fund and CIS Operator’s local representative

Arrangement for distribution

18) Units in the ARFP Passport Fund will be offered/ marketed in Thailand by the following intermediaries who are licensed or regulated by the SEC Thailand:

- Management company
- Licensed bank/ Financial institution
- Licensed securities company
- Licensed institution/Corporation/Organisation (e.g. insurance company)
- Other bodies (Please provide details: _____)

Please specify the name and address of the distributor (please use an enclosure if there is more than one distributor):

19) Details of contact person:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

To be notified at a date no later than _____

Not applicable (in case the ARFP Passport Fund is to be listed on the Stock Exchange of Thailand (SET) or any other organised and regulated exchange in Thailand, e.g. ETF)

Representative

20) Name of proposed representative in Thailand:

21) Is such representative regulated by or acceptable to the SEC Thailand?

Yes No

Address of registered office:

22) Details of contact person:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

23) Details of where and how unit prices will be published:

Part D: Custody of Passport Fund Assets

24) Name of Custodian:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part E: Independent Oversight Entity of the Passport Fund (Trustee/ Fund supervisor)

Same as Custody No [if “No”, please provide further information below]

25) Name of Independent Oversight Entity:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part F: Annual Implementation Reviewer

Same as Independent Oversight Entity No [if “No”, please provide further information below]

26) Name of the Implementation Reviewer:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part G: Declaration

I/We certify the following:

1. I/We am/are under supervision of Home Regulator which has the authority to impose sanctions or to order the operator of the ARFP Passport Fund to act or refrain from acting in case there is an action which may cause damages to the interest of the investors.

Yes No

If “No”, please specify _____

2. I/We am/are not currently being subject to any suspension or revocation order or action by Home Regulator regarding the license or business activities.

Yes No

If “No”, please specify _____

3. I/We have not had any record of violation of the laws or regulations of Home Economy in matters relating to the disclosure of material information to investors or Home Regulator, and have not failed to submit such material information to investors or Home Regulator.

Yes No

If “No”, please specify _____

4. I/We affirm that the offering document/prospectus and the information of the ARFP Passport Fund will be disclosed and distributed without delay to investors in Thailand, and in case where the units of the ARFP Passport Fund is offered publicly in the Home Economy, such information will be disclosed and distributed to investors in Thailand within the same period as having the duty to disclose and distribute such information to investors in Home Economy.

Yes No

If “No”, please specify _____

5. I/We affirm that the ARFP Passport Fund, as detailed in Part A of this application form, is completely in compliance with Annex 1: Host Economy Laws and Regulations, Annex 2: Common Regulatory Arrangements and Annex 3: Passport Rules as prescribed in Memorandum of Cooperation on the Establishment and Implementation of the Asia Region Funds Passport (“MOC”), and is under supervision of Home Regulator who is signatory to the MOC.

Yes No

If “No”, please specify _____

6. I/We affirm that the units of the ARFP Passport Fund which have been or would be offered for sale in Home Jurisdiction have not been the subject of any banning or prohibition order of sale by Home Regulator, and in case where the units of the ARFP Passport Fund is not intended to be offered publicly in the Home Economy, the requirements for the offer of the CISs in Home Economy as stipulated in section 17 of the Passport Rules are satisfied.

Yes No

If “No”, please specify _____

I/We have duly examined the information contained in this application form hereto and declare that to the best of our knowledge and belief all information given in this application form and the documents enclosed are true, accurate and complete. The text of each document is the same as that previously submitted to the Home Regulator, and is an accurate translation of that text (where applicable). In this regard, as evidence that each and every page of the documents is of the exact documents to which I/we have certified, I/we have also signed an initial or a signature on each and every page of the document and the amendments thereto. Accordingly, any document without my/our initial or signature shall not be regarded as the information to which I/we have certified.

Dated this _____ day of _____ 20____ .

Signature: _____

(full name)

(company)

(* The application form shall be signed either by the Operator of the ARFP Passport Fund or an authorised signatory of the Operator of the ARFP Passport Fund. The person who signs shall state his/her full name and capacity, and shall ensure the declaration is dated.)

Checklist for Foreign Exchange-Traded Fund (ETF) Application Form

Name of foreign ETF: _____

Home economy: _____

Home exchange: _____

1. Form 69 – CIS full (*completed by CIS Operator*)
2. Evidence demonstrating that foreign ETF is legally established under the law of Home Regulator’s jurisdiction
(*issued by Home Regulator*)
3. Documents on establishment of foreign ETF:
- (a) Memorandum of Association and the Articles of Association, or the Establishment of Company under the law of the jurisdiction where such foreign ETF is established – in case of foreign ETF established by an investment company; or
- (b) Trust Instrument or Trust Agreement – in case of foreign ETF established as trust
4. Evidence on the appointment of a local representative in Thailand as the agent of CIS Operator
(*issued by CIS Operator*)
5. Evidence on the appointment of an authorised person of CIS Operator
(*issued by CIS Operator*)
6. Master ETF’s prospectus and fact sheet/ product highlight sheet
(required only in case of feeder ETF)
7. A fee of THB100,000 (VAT exclusive)
- Bank draft / Cheque / Cash
- Receipt of money transfer
8. Other supporting documents (*please specify*)
-

Please print this checklist and include it in the package of this form

Foreign Exchange-Traded Fund (ETF) Application Form

**To: Secretary-General
Securities and Exchange Commission, Thailand**

Re: Application to offer Foreign ETF in Thailand

I/We _____ as an operator of
(name of the Operator of the foreign ETF)

_____ hereby notify the Securities and
(name of the foreign ETF)

Exchange Commission of Thailand of our intention to offer the foreign ETF in Thailand.

In this regard, I/We have completed the application form and enclosed all relevant documents in support of this application (if applicable).

Part A: Foreign ETF Information

1) Name of Foreign ETF: _____

2) Home Economy: _____

3) Home Regulator: _____

4) Main/Home Exchange: _____

5) Legal Structure of Foreign ETF: _____

6) Is the foreign ETF subject to supervision of home regulator that is a member of International Organization of Securities Commissions (IOSCO)?

Yes

No

If "No", please specify

7) Is the foreign ETF currently traded on any exchange that is a member of World Federation of Exchanges (“WFE”)?

- Yes No

If “Yes”, please provide the following details:

The list of the exchanges that foreign ETF is traded on

8) The objective of the foreign ETF is to create return for unit holders by directly invest in the following underlyings: *(please tick where applicable)*:

- Index comprising basket of securities recognised by foreign exchange which is a member of WFE, providing that such index shall comprising only (i) securities listed on foreign exchange which is a member of WFE; or (ii) debt instruments with an organised secondary market;
- Gold price;
- Index comprising or relating to crude oil either wholly or partially; or
- Commodity index;

9) Is the foreign ETF a passively managed fund?

- Yes No

If “Yes”, please specify such passively-managed investment strategy

Part B: Information on the Operator of the Foreign ETF

10) Name of the Operator: _____

11) Home Economy of the Operator: _____

12) Home Regulator of the Operator: _____

13) Address of principal place of business:

Company’s website: _____

14) Details of contact person at the CIS Operator:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

15) Is the Operator currently licensed or authorised to conduct fund management in the economy of its principal place of business?

Yes No

If “No”, please specify _____

16) Number of years the Operator has managed CISs: _____

Total assets under management (latest available figures):

in Home Economy _____

offered cross-border _____

Total _____

As at (date) _____

Part C: Market Maker (MM) of Foreign ETF in Thailand

17) Name of Market Maker:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

(please use an enclosure if there is more than one market maker)

Part D: Participating Dealer (PD) of Foreign ETF in Thailand

18) Name of Participating Dealer:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

(please use an enclosure if there is more than one participating dealer)

Part E: Representative of Foreign ETF Operator

19) Name of proposed representative in Thailand:

20) Is such representative regulated by or acceptable to the SEC Thailand?

Yes No

Address of registered office:

21) Details of contact person:

Name/Position (at least CEO or equivalent): _____

Email address: _____

Tel No.: _____ Fax No.: _____

Part F: Custody of Foreign ETF Assets

22) Name of Custodian:

Address of registered office:

Email address: _____

Tel No.: _____ Fax No.: _____

Part G: Trustee/ Fund supervisor

Same as Custodian

No [if “No”, please provide further information below]

23) Name of Trustee/ Fund supervisor:

Address of registered office:

Email address: _____

Tel No.: _____

Fax No.: _____

Part H: Declaration

I/We certify the following:

1. I/We am/are under supervision of Home Regulator which has the authority to impose sanctions or to order the operator of the foreign ETF to act or refrain from acting in case there is an action which may cause damages to the interest of the investors.

Yes

No

If “No”, please specify _____

2. I/We am/are not currently being subject to any suspension or revocation order or action by Home Regulator regarding the license or business activities.

Yes

No

If “No”, please specify _____

3. I/We have not had any record of violation of the laws or regulations of Home Economy in matters relating to the disclosure of material information to investors or Home Regulator, and have not failed to submit such material information to investors or Home Regulator.

Yes

No

If “No”, please specify _____

I/We have duly examined the information contained in this application form hereto and declare that to the best of our knowledge and belief all information given in this application form and the documents enclosed are true, accurate and complete. The text of each document is the same as that previously submitted to the Home Regulator, and is an accurate translation of that text (where applicable). In this regard, as evidence that each and every page of the documents is of the exact documents to which I/we have certified, I/we have also signed an initial or a signature on each and every page of the document and the amendments thereto. Accordingly, any document without my/our initial or signature shall not be regarded as the information to which I/we have certified.

Dated this _____ day of _____ 20____ .

Signature: _____

(full name)

(company)

(* The application form shall be signed either by the Operator of the Foreign ETF or an authorised signatory of the Operator of the ARFP Passport Fund. The person who signs shall state his/her full name and capacity, and shall ensure the declaration is dated.)