

## Fund Managers, Collective Investment Schemes, Depositaries and Recognised Persons Documentation Timetable

Collective Investment Schemes		
Alternative Investment Funds		
Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	5.06 of Part B of the Rules for AIFs	6 months (annual)
Annual Fund Return	5.06 of Part B of the Rules for AIFs	7 months (annual)
Auditor's Management Letter	3.38 of Part B of the Rules for AIFs	6 months (annual)
Custodian's Report	5.09 of Part B of the Rules for AIFs	6 months (annual)
AIFMD Reporting - Annex IV Return (only applicable to self-managed AIFs)	Section 3 of Appendix 8 to Part B of the Rules for AIFs	1 month (frequency depends on AUM)
Professional Investor Funds		
Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	1.62 of Part BII of the Rules for PIFs	6 months (annual)
Annual Fund Return	1.62 of Part BII of the Rules for PIFs	7 months (annual)
Auditor's Management Letter	1.38 of Part BII of the Rules for PIFs	6 months (annual)
Custodian's Report (only applicable to experienced PIFs)	1.89 of Part BI of the Rules for PIFs	6 months (annual)
Auditor's Confirmation (only applicable to self-managed PIFs)	4.1(iii) of Appendix I to the Rules for PIFs	6 months (annual)
Directors' Declaration on Swiss Self Regulated Organisation (SRO)	As specified in licencing cover letter (applicable to PIFs managed by a Swiss SRO)	6 months (annual)
AIFMD Reporting - Annex IV Return (only applicable to self-managed PIFs)	4.1 of Appendix I to the Rules for PIFs	1 month (annual)
UCITS Schemes		
Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	12.8 of Part BII of the Rules for Retail Schemes	4 months (annual)
Annual Fund Return	12.8 of Part BII of the Rules for Retail Schemes	5 months (annual)
Auditor's Management Letter	16.15 of Part BII of the Rules for Retail Schemes	4 months (annual)
Custodian's Report	2.12 of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	1.3(i) of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)
Financial Derviative Instruments Report	12.8 of Part BII of the Rules for Retail Schemes	4 months (annual)
Director's Confirmation	1.3(i) of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)
Half-Yearly Report	12.8 of Part BII of the Rules for Retail Schemes	2 months (annual)
Director's Confirmation in relation to Half-Yearly Report	1.3(i) of Appendix II to Part B of the Rules for Retail Schemes	2 months (annual)
NAIFs		
Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	11.36 of Part BIII of the Rules for Investment Services Providers	6 months (annual)
Annual Fund Return	11.36 of Part BIII of the Rules for Investment Services Providers	7 months (annual)
Depositaries		
Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	2.13 of Part BIV of the Rules for Investment Services Providers	4 months (annual)
Audited Annual Financial Return	2.11 of Part BIV of the Rules for Investment Services Providers	4 months (annual)
Auditor's Management letter	2.14 of Part BIV of the Rules for Investment Services Providers	4 months (annual)
Auditor's Report	2.27 of Part BIV of the Rules for Investment Services Providers	4 months (annual)
Interim Financial Return	2.14 of Part BIV of the Rules for Investment Services Providers	1 month (quarterly)

## Recognised Persons

### Recognised Fund Administrators

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	5.2 of Part BI of the Rules for Recognised Persons	6 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	5.2(ii) of Part BI of the Rules for Recognised Persons	6 months (annual)
Auditor's Management Letter	5.3 of Part BI of the Rules for Recognised Persons	6 months (annual)
Letter from the Board of Directors	5.2(i) of Part BI of the Rules for Recognised Persons	6 months (annual)

### Recognised Private Collective Investment Schemes

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	3.1 of Part BII of the Rules for Recognised Persons	6 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	3.1 of Part BII of the Rules for Recognised Persons	6 months (annual)

### Recognised Incorporated Cell Companies

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	6.3 of Part BIII of the Rules for Recognised Persons	6 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	6.4(ii) of Part BIII of the Rules for Recognised Persons	6 months (annual)
Letter from Board of Directors	6.4(i) of Part BIII of the Rules for Recognised Persons	6 months (annual)

## Fund Managers

### De-Minimis Fund Managers

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Audited Annual Financial Return	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Management Letter	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Confirmation	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Comments to Management Letter	40 of Section 1 of Part BIII of the Rules for Investment Services Providers	6 months (annual)
AIFMD Reporting - Annex IV Return	4 of Section 1 of Part BIII of the Rules for Investment Services Providers	1 month (annual)
AIFMD Reporting - Annex V Return	4.04 of Appendix 13 to Part B of the Rules for Investment Services Providers	1 month (semi-annual)

### Alternative Investment Fund Managers

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	6.19 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	6.31 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Management Letter	6.31 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Audited Annual Financial Return	6.18 of Part BIII of the Rules for Investment Services Providers	4 months (annual)
Annual Financial Return	6.18 of Part BIII of the Rules for Investment Services Providers	1 month (annual)
Interim Financial Return	6.21 of Part BIII of the Rules for Investment Services Providers	1 months (quarterly)
Comments to Management Letter	6.33 of Part BIII of the Rules for Investment Services Providers	6 months (annual)
AIFMD Reporting - Annex IV Return	Section 4 of Appendix 13 to Part B of the Rules for Investment Services Providers	1 month (frequency depends on AUM)
AIFMD Reporting - Annex V Return	4.04 of Appendix 13 to Part B of the Rules for Investment Services Providers	1 month (quarterly)
Self-assessment certificate on potential closet indexing*	Circular on the subject issued by MFSA on 15 October 2019	6 months (annual) / 2 months (annual)

### UCITS Managers

Regulatory Documentation	Rule (SLC)	Due Date from reference period
Annual Report and Audited Financial Statements	5.10 of Part BII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Report (different from independent auditor's report included in pack)	5.10 of Part BII of the Rules for Investment Services Providers	4 months (annual)
Auditor's Management Letter	5.10 of Part BII of the Rules for Investment Services Providers	4 months (annual)

Audited Annual Financial Return	5.09 of Part BII of the Rules for Investment Services Providers	4 months (annual)
Annual Financial Return	5.09 of Part BII of the Rules for Investment Services Providers	1 month (annual)
Interim Financial Return	5.12 of Part BII of the Rules for Investment Services Providers	1 month (quarterly)
Comments to Management Letter	5.24 of Part BII of the Rules for Investment Services Providers	6 months (annual)
Self-assessment certificate on potential closet indexing*	Circular on the subject issued by MFSA on 15 October 2019	4 months (annual)/ 2 months (annual)

**\*Self-assessment certificate on potential closet indexing** : Fund Managers are to submit the certificate for each UCITS and/or Retail AIF managed together with the Scheme's annual audited financial statements pack and interim report (if applicable). Half-yearly certificates are required for UCITS and/or Retail AIFs with NAVs in excess of EUR 100m.

All original copies sent by mail should be addressed to the Securities and Markets Supervision Unit

Last updated: 11 April 2022