

Annex I

LH Project Name: Collective Investment Schemes & Recognized Persons Reporting (CISRP):

Collective Investment Schemes					
Alternative Investment Funds					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	5.06 of Part B of the Rules for AIFs	6 months (annual)		_AFS	_AFS
Auditor's Management Letter	3.38 of Part B of the Rules for AIFs	6 months (annual)		_AFD	_ML
Custodian's Report	5.09 of Part B of the Rules for AIFs	6 months (annual)		_AFD	_CR
Self-Assessment Certificate	Circular on the subject issued by MFSA on 15 October 2019. (Found on the last page of the 2018 Version).	6 months (annual)/ Semi-Annually	Only applicable to Retail AIFs. Semi-annually only applicable for Schemes with NAV higher than €100,000,000.	_AFD	_SAC
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR
Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Annual Fund Return	5.06(i) of Part B of the Rules for AIFs	7 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	5.06(ii) of Part B of the Rules for AIFs	7 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	5.06(iii) of Part B of the Rules for AIFs	7 months (annual)		_AFD	_ARFR

Professional Investor Funds targeting Experienced Investors					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	1.88 of Part BI of the Rules for PIFs	6 months (annual)		_AFS	_AFS
Auditor's Management Letter	1.38 of Part BI of the Rules for PIFs	6 months (annual)		_AFD	_ML
Custodian's Report	1.89 of Part BI of the Rules for PIFs	6 months (annual)		_AFD	_CR
Auditor's Confirmation	4.1(iii) of Appendix I to the Rules for PIFs	6 months (annual)	Only applicable to self-managed PIFs	_AFD	_AC
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)		_AFD	_SRO
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR
Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Annual Fund Return	1.88(i) of Part BI of the Rules for PIFs	7 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	1.88 (ii) of Part BI of the Rules for PIFs	7 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	1.88 (iii) of Part BI of the Rules for PIFs	7 months (annual)		_AFD	_ARFR

Professional Investor Funds targeting Qualifying Investors					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	1.62 of Part BII of the Rules for PIFs	6 months (annual)		_AFS	_AFS
Auditor's Management Letter	1.38 of Part BII of the Rules for PIFs	6 months (annual)		_AFD	_ML

Auditor's Confirmation	4.1(iii) of Appendix I to the Rules for PIFs	6 months (annual)	Only applicable to self-managed PIFs	_AFD	_AC
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)		_AFD	_SRO
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR
Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Annual Fund Return	1.62(i) of Part BII of the Rules for PIFs	7 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	1.62(ii) of Part BII of the Rules for PIFs	7 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	1.62(iii) of Part BII of the Rules for PIFs	7 months (annual)		_AFD	_ARFR

Professional Investor Funds targeting Extraordinary Investors					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	1.64 of Part BIII of the Rules for PIFs	6 months (annual)		_AFS	_AFS
Auditor's Management Letter	1.37 of Part BIII of the Rules for PIFs	6 months (annual)		_AFD	_ML
Auditor's Confirmation	4.1(iii) of Appendix I to the Rules for PIFs	6 months (annual)	Only applicable to self-managed PIFs	_AFD	_AC
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)		_AFD	_SRO
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR

Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Annual Fund Return	1.64(i) of Part BIII of the Rules for PIFs	7 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	1.64(ii) of Part BIII of the Rules for PIFs	7 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	1.64(iii) of Part BIII of the Rules for PIFs	7 months (annual)		_AFD	_ARFR

UCITS Schemes					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	12.8 of Part BII of the Rules for Retail Schemes	4 months (annual)		_AFS	_AFS
Auditor's Management Letter	16.17 of Part BII of the Rules for Retail Schemes	4 months (annual)		_AFD	_ML
Custodian's Report	2.12 of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)		_AFD	_CR
Auditor's Report	1.3(i) of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)	Different from independent auditor's report included in pack.	_AFD	_AR
Financial Derivative Instruments Report	12.8 of Part BII of the Rules for Retail Schemes	4 months (annual)		_AFD	_FDIR
Director's Confirmation	1.3(i) of Appendix II to Part B of the Rules for Retail Schemes	4 months (annual)		_AFD	_DC
Self-assessment certificate on potential closet indexing	Circular on the subject issued by MFSA on 15 October 2019. (Found on the last page of the 2018 Version).	4 months (annual) / 2 months (Semi-Annually)	Semi-annually only applicable for Schemes with NAV higher than €100,000,000.	_AFD	_SAC
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR

Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Half-Yearly Report	12.8 of Part BII of the Rules for Retail Schemes	2 months (Semi-Annually)		_IFS	_HYR
Director's Confirmation in relation to Half-Yearly Report	1.3(ii) of Appendix II to Part B of the Rules for Retail Schemes	2 months (Semi-Annually)		_IFS	_DC
Annual Fund Return	12.8(i) of Part BII of the Rules for Retail Schemes	5 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	12.8(ii) of Part BII of the Rules for Retail Schemes.	5 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	12.8(iii) of Part BII of the Rules for Retail Schemes.	5 months (annual)		_AFD	_ARFR

Notified Alternative Investment Funds					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	5.02 of Part B of the Investment Services Rules for NAIFs.	6 months (annual)		_AFS	_AFS
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR
Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR
Annual Fund Return	5.02(i) of Part B of the Investment Services Rules for NAIFs.	7 months (annual)		_AFR	_AFR
Fund Return Representation Sheet	5.02(ii) of Part B of the Investment Services Rules for NAIFs.	7 months (annual)		_AFR	_RS
Auditor's Report on the Fund Return	5.02(iii) of Part B of the Investment Services Rules for NAIFs.	7 months (annual)		_AFD	_ARFR

Notified Professional Investor Funds					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	3.02 of Part B of the Rules for NPIF	6 months (annual)		_AFS	_AFS
Auditor's Management Letter	4.06 of Part B of the Rules for NPIF	6 months (annual)		_AFD	_ML
Annex IV SFDR	Annex IV in accordance Article 50 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 8	_OTH	_OTH_AnnexIV SFDR
Annex V SFDR	Annex V in accordance Article 58 of Commission Delegated Regulation (EU) 2022/1288 ("SFDR RTS") supplementing Regulation (EU) 2019/2088 ("SFDR").	6 months (annual)	Only applicable to Schemes having one or more sub-funds disclosing under SFDR Article 9	_OTH	_OTH_AnnexV SFDR

Recognised Persons

Recognised Fund Administrators

Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	5.2 of Part BI of the Rules for Recognised Persons	6 months (annual)		_AFS	_AFS
Letter from the Board of Directors	5.2(i) of Part BI of the Rules for Recognised Persons	6 months (annual)		_AFD	_LBOD
Auditor's Report	5.2(ii) of Part BI of the Rules for Recognised Persons	6 months (annual)	Different from independent auditor's report included in pack.	_AFD	_AR
Auditor's Management Letter	5.3 of Part BI of the Rules for Recognised Persons	6 months (annual)		_AFD	_ML
Comments to Management Letter	5.4 of Part BI of the Rules for Recognised Persons	9 months (annual)		_AFD	_MLC

Recognised Private Collective Investment Schemes

Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	3.1 of Part BII of the Rules for Recognised Persons	6 months (annual)		_AFS	_AFS
Auditor's Report	3.1 of Part BII of the Rules for Recognised Persons	6 months (annual)	Different from independent auditor's report included in pack.	_AFD	_AR

Recognised Incorporated Cell Companies

Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Annual Report and Audited Financial Statements	6.3 of Part BIII of the Rules for Recognised Persons	6 months (annual)		_AFS	_AFS

Letter from Board of Directors	6.4(i) of Part BIII of the Rules for Recognised Persons	6 months (annual)		_AFD	_LBOD
Auditor's Report	6.4(ii) of Part BIII of the Rules for Recognised Persons	6 months (annual)	Different from independent auditor's report included in pack.	_AFD	_AR

LH Project Name: Fund Manager Reporting:

Fund Managers					
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Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Audited Annual Financial Return	40 of Section 1 of Part BIII of the Rules for AIFMs	4 months (annual)	To be submitted both in Excel and PDF format, using different Return Names.	_APPRET2B	_A and _SAAFR
Annual Report and Audited Financial Statements	40 of Section 1 of Part BIII of the Rules for AIFMs	4 months (annual)	To also include the Independent Auditor's Report.	_AFS	_AFS
Auditor's Assurance Report	40 of Section 1 of Part BIII of the Rules for AIFMs	4 months (annual)	This is a separate document from the independent auditor's report that is included in the pack.	_AFD	_AR
Auditor's Management Letter	40 of Section 1 of Part BIII of the Rules for AIFMs	4 months (annual)		_AFD	_ML
Comments to the Management Letter	40 of Section 1 of Part BIII of the Rules for AIFMs	6 months (annual)	Only if applicable.	_AFD	_MLC

Alternative Investment Fund Managers					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Interim Financial Return	6.25 of Part BIII of the Rules for AIFMs	<i>1 month (quarterly)</i>	To be submitted both in Excel and PDF format, using different Return Names. Please note that the Interim Excel Return does not require a Return Name i.e. ' LHCODE_REPORTINGPERIOD ' only is to be used.	_APPRET2B	_SIFR
Audited Annual Financial Return	6.22 of Part BIII of the Rules for AIFMs	4 months	To be submitted both in Excel and PDF format, using different Return Names.	_APPRET2B	_A and _SAAFR

		(annual)			
Annual Report and Audited Financial Statements	6.24 of Part BIII of the Rules for AIFMs	4 months (annual)	To also include the Independent Auditor's Report.	_AFS	_AFS
Auditor's Assurance Report	6.38 / 6.39 of Part BIII of the Rules for AIFMs	4 months (annual)	This is a separate document from the independent auditor's report that is included in the pack.	_AFD	_AR
Auditor's Management Letter	6.38 of Part BIII of the Rules for AIFMs	4 months (annual)		_AFD	_ML
Comments to the Management Letter	6.40 of Part BIII of the Rules for AIFMs	6 months (annual)	Only if applicable.	_AFD	_MLC
Self-assessment Certificate on Potential Closet Indexing	MFSA Circular issued on 15 October 2019	6 months (annual / semi-annually)		_AFD	_SACOPCI

UCITS Managers					
Regulatory Documentation	Rule (SLC)	Due Date from reference period	Comments	ZIP Name	Return Name
Interim Financial Return	5.16 of Part BII of the Rules for UCITS Managers	1 month (quarterly)	To be submitted both in Excel and PDF format, using different Return Names. Please note that the Interim Excel Return does not require a Return Name i.e. 'LHCODE_REPORTINGPERIOD' only is to be used.	_APPRET2B	_SIFR
Audited Annual Financial Return	5.13 of Part BII of the Rules for UCITS Managers	4 months (annual)	To be submitted both in Excel and PDF format, using different Return Names.	_APPRET2B	_A and _SAAFR
Annual Report and Audited Financial Statements	5.15 of Part BII of the Rules for UCITS Managers	4 months (annual)	To also include the Independent Auditor's Report.	_AFS	_AFS
Auditor's Assurance Report	5.28 / 5.29 of Part BII of the Rules for UCITS Managers	4 months (annual)	This is a separate document from the independent auditor's report that is included in the pack.	_AFD	_AR

Auditor's Management Letter	5.28 of Part BII of the Rules for UCITS Managers	4 months (annual)	_AFD	_ML
Comments to the Management Letter	5.30 of Part BII of the Rules for UCITS Managers	6 months (annual) Only if applicable.	_AFD	_MLC
Self-assessment Certificate on Potential Closet Indexing	MFSA Circular issued on 15 October 2019	6 months (annual / semi-annually)	_AFD	_SACOPCI

Should you have any queries in relation to the above, please do not hesitate to contact funds@mfsa.mt.