

Managed Investment Product Registration

Client Guide

- Make sure the product's Issuer already registered as Participant before registering product.
- Unless you are choosing the Provisional Service which has a different fee structure to the standard model, make sure you have all relevant information about your product (e.g., full product name, regulators registration numbers, trustee/responsible entity details) and a copy of the applicable offer document or PDS.
- **Dashboard**
 - Click: **APIR Coding Services**
- **Product Registration**
 - Click: **Managed Investment**
- **Managed Investment Product Registration**
 - It will show below box before you start.

Before you begin...

To register a new product, complete the following:

- Make sure you have all relevant information about your product (e.g. full product name, regulators registration numbers, trustee/responsible entity details) and a copy of the applicable offer document.
- Complete all the required fields in the form. You can save the form at any stage and it will appear on your dashboard for you to continue editing.
- Once submitted, the form will be saved and the approving officer will be alerted.
- Once submitted, you will be able to monitor the progress of it on your dashboard.

Note: All fields denoted with an asterisk (*) are required.

START REQUEST

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- Click: **Start Request**
- Once you clicked **Start Request**, you can start filling 4 Sections of the form.
 1. **General** – Fill out all the information, the ones with asterisks are mandatory. Please note, if the product's mandatory information is not yet available, you can select Yes from the drop-down list under Provisional which will let you continue without entering some mandatory information such as registration numbers and open date.

Managed Investment Product Registration

Welcome, Karika Devi

Request: #RQIN-651-3088

1 General 2 Classification of Financial Instruments and Asset Kind 3 Attachments 4 Payments

General

Participant Information

Participant * [Redacted] Participant Role * Trustee

Jurisdiction * Australia Service Type * Standard Provisional * No

Product Information

Product Type * Fund Type * Wholesale Bank Currency * Australian Dollar

Unit Class [Redacted] Full Product Name * [Redacted] Marketing Name [Redacted]

Cost Centres

Do you want to add a cost centre to this product?

Registration Numbers

ARSN [Redacted] ABN * [Redacted] LE [Redacted]

ISIN

Is or will this product be listed/quoted on a stock exchange? *

Please select...

PREVIOUS SAVE NEXT

Once filled out, you can either click save or next to continue to section 2 of the form.

- 2. Classification of Financial Instruments and Asset Kind** - Fill out all the information, the one with asterisk are mandatory. Like what is the classification of the product being registered, the status, objective, geographical focus, pricing and distribution frequency.

Once filled out, you can either click save or next to continue to section 3 of the form.

The screenshot shows the 'Classification of Financial Instruments and Asset Kind' section of the APIR system. It includes a progress bar at the top with four steps: 1. General, 2. Classification of Financial Instruments and Asset Kind (current), 3. Attachments, and 4. Payment. The form contains several fields with red asterisks indicating mandatory information:

- Product Classification: Standard (overseas) investment funds/retail funds
- Open or Closed-end fund: Open
- Open Date: 04/12/2018
- Product Status: Open
- Investment Objective: Income and Growth
- Asset Kind: Fixed
- Sub Asset Kind: Fixed
- Geographic Focus: Global (Including Australia)
- Pricing Frequency: Quarterly
- Distribution Frequency: Quarterly

At the bottom, there are 'PREVIOUS', 'SAVE', and 'NEXT' buttons. The copyright notice at the bottom reads 'Copyright © 2021 APiR Systems Ltd'.

- 3. Attachments** – upload all the necessary supporting documents, such as the Product’s offer document (PDS or Information Memorandum), copy of ABN, copy of ARSN etc. Please note if you choose Provisional our preference is that you at least provide a draft copy of the offer document. If it’s not currently available, we may proceed without the offer document. All provisional codes issued will be followed up on regularly by the client services team. You must provide the final offer document and any missing mandatory information on the form before using the APiR Codes publicly. Once you have all the missing information, please let the client service team know by emailing clientservices@apir.com.au so we can add the missing information and remove the on hold/provisional status and make the APiR Code publicly searchable when all the documents are available and in order.

The screenshot shows the 'Attachments' section of the APIR system. It includes a progress bar at the top with four steps: 1. General, 2. Classification of Financial Instruments and Asset Kind, 3. Attachments (current), and 4. Payment. The form contains the following information:

- Supporting Documents: We require documentation to support the information provided by you so we can independently validate the form for accuracy. Unless you have selected provisional, you must attach at least one supporting document in order to submit your application.
- Offer Document: A list of attachments with two PDF files: 'ABN for Fixed' and 'ARSN for Fixed'.

At the bottom, there are 'PREVIOUS', 'SAVE', and 'NEXT' buttons. The copyright notice at the bottom reads 'Copyright © 2021 APiR Systems Ltd'.

Once filled out, you can either click save or next to continue to section 4 of the form.

Managed Investment Product Registration

Welcome, [User] Logout

Request #RQN-6461-3084

1 General 2 Classification of Financial Instruments and Asset Kind 3 Attachments 4 Payment

Payment

Payer Details

Payer * [Pty Limited]

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PREVIOUS SAVE VIEW SUMMARY AND SUBMIT

4. **Payment** – Choose the Payer Details from the drop-down list, it is usually the Responsible Entity/ Trustee of the product. Then click **View Summary and Submit**

- **You can now view the Managed Investment Product Registration Summary**
Please review your form to ensure all data is accurate and correct and submit the request using the button at the bottom of the page.
- **Once request is submitted successfully** – you/ your authorised team member will receive an email to approve the request from your/ their dashboard. Click the **Yellow Button** as per below to approve request - this step will only apply where the request is not submitted by the account owner.

Dashboard

Welcome, [User] Logout

My Participants

Australia

✓ RCKX220AU

Open Products 0 Closed Products 0 Other Products 0

Total Active Products 0 Terminated Products 0 Total Products 0

New User Request List (0)

Request No.	User	Status	Request Date	Action
No request found.				

Request List (11)

Request No.	Request Type	Payer APIR Code	Submission User	Form Approver	Billing Contact	Status	Last Updated	Action
RQN-6461-3084	Managed Investment Product Registration	[Redacted]	[Redacted]	[Redacted]	[Redacted]	Awaiting Customer Approval	[Redacted]	[Yellow Button]

- Read the Term & Conditions and click **Approve**.

Approve Request: #RQN-6461-3084

A. AGREEMENT

In consideration for the issuing and maintaining of an APIR Code (in accordance with details set out in Schedule 1) for an entity, the Client:

1. Warrants that the information supplied in relation to the coded entity is correct and complete.
2. Warrants that the APIR Code will only be used in accordance with the Rules as set out in Schedule 2 (Product Codes) and Schedule 3 (Participant Codes) as appropriate.
3. Agrees that APIR may withdraw or cease to publish Codes that have been used other than in accordance with the Rules.
4. Agrees not to publish or distribute any other code as if it were, or could be mistaken for, an APIR Code.
5. Acknowledges Client's responsibility to advise APIR of any changes to the information.
6. Indemnifies APIR against any losses, legal costs or any other expenses incurred by APIR due to Client not supplying accurate or timely information or Client using the Codes other than in accordance with the Rules.
7. Agrees to pay the Fees and Charges to APIR in accordance with the current Schedule 4.
8. Acknowledges APIR's Intellectual Property rights with regard to copyright and trademarks.
9. Acknowledges that "APIR" is a registered trade mark and agrees that whenever Client publishes or distributes a Code, it will clearly indicate that it is an "APIR" Code and that "APIR" is a registered trade mark of APIR.
10. Agrees to receive communications from APIR, including by electronic means, containing relevant product or service information material and agrees that APIR does not need to include an un-subscribe facility in such messages.

B. SCHEDULE 1

APIR IDENTIFICATION CODING SERVICES

1. Introduction

APIR has been issuing identifying codes for financial products and participants in the financial services industry since 1993. In 1998, the Investment and Financial Services Association recognised the codes as the industry standard. APIR codes are used throughout the Australian financial services industry and internationally to enable the reliable and robust interchange of data and messages where the unique identification of entities is vital.

The APIR Coding system allows the relationships between entities to be mapped and cross referenced. This feature enables APIR to provide a higher level of data functionality than just unique identification.

The integrity of the APIR coding system is essential in enabling the current and future operations of an increasing proportion of the business processes of the financial services industry.

2. APIR Codes

2.1) The format of APIR Codes is as follows:

9 Alphanumeric Characters of which the last two are the ISO 3166 Country Code for the country of registration

2.2) APIR issues unique codes to eligible entities in accordance with the Rules detailed in Schedules 2 and 3.

2.3) Codes are allocated in perpetuity and only one code will be issued for each entity.

2.4) APIR will issue ISIN Codes for eligible products in accordance with ISO 6166. The ISIN Code will be published along with the APIR Code and will be notified to Australia's National Numbering Agency (ASX) for global deployment via the ANNA Service Bureau (ASE). ASX shall have no liability in connection with a determination by APIR that a financial instrument is or is not eligible for an ISIN. The allocation of an ISIN to a financial instrument is not intended to be and should not be construed as an endorsement of such financial instrument by ASX, or an opinion as to the legal validity, performance or return of such financial instrument. ASX does not guarantee the accuracy, adequacy or completeness of any data associated with the ISIN and shall not be liable or responsible for any errors or omissions or for the use of the ISIN.

2.5) APIR will normally issue a Code within 4 working days of receipt of a completed Application subject to payment being received prior to fulfilling the service request.

2.6) APIR will:

I. in general, publish, promulgate and deploy the Codes with associated data except for that associated with participants who are individuals where privacy and commercial constraints will be recognised,

T&C Last updated: 21 Apr 2020

CANCEL
REJECT
APPROVE

- Once you approved the request from your dashboard, APIR team will assign the request to a client services team member who will start a preliminary check and issue an invoice via email and will also appear on the dashboard.
- Once payment is made, APIR team will do the validation and issue the APIR within the SLA timeframe. Three business days from receipt of payment for standard service and next business day from receipt of payment for FastTrack service.