

SUP 16: Reporting requirements

Annex 12AR

REP011 Monthly Breach Report from Depositaries

Monthly Return of Breaches – Authorised Funds

Authorised Fund Manager	FRN	Scheme Name	Scheme PRN	Sub-Fund Name	Sub – Fund PRN (if applicable)	Breach Type	New or Existing Breach	Maximum percentage error (if applicable)	Breach Start Date	Breach Identification Date	Breach Closure Date	Depositary Breach Reference	AFM Breach Reference	Breach Description	Action Taken or Planned

Monthly Return of Authorised Fund Manager Status

Authorised Fund Manager	FRN	Total number of stand-alone schemes and sub-funds overseen by depositary for this authorised fund manager.	In respect of controls over the issue and cancellation of units, what is the current status of the authorised fund manager and did the status change in the month? (Note)	In respect of controls over valuation and pricing, what is the current status of the authorised fund manager and did the status change in the month? (Note)

Note: (1) = From "controls adequate" to "controls inadequate" and vice versa. Where the authorised fund manager's status changed, the report should state the date of that change.

(2) Firm reference number (FRN) and product reference number (PRN) are available from the FS Register.

This information has been provided to the FCA in accordance with SUP 16.6.8R(1A).

REP012 Quarterly Oversight Report from Depositaries

Quarterly Return of Oversight Visits – Authorised Funds

Authorised Fund Manager	FRN	Date of visit	Area reviewed	Findings	Recommendations	AFM's response and comments

This information has been provided to the FCA in accordance with SUP 16.6.8R(1B).