

## Schedule 1

### Record keeping requirements

#### Sch 1.1 G

##### 1 Record keeping requirements

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
COLL Transitional Provision 3	Election or re- vocation to com- ply with <i>CIS</i>	Details	At election or re- vocation	6 years
COLL Transitional Provision 14	Election for early compliance with the instrument	Details	At election	6 years
COLL 4.4.11 R (5)	Minutes of meet- ings (AFM)	Full details	As implicit from the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>
COLL 6.2.5 R (1)	<i>Issues and can- cellations of un- its</i> (AFM)	Full details	As implicit from the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>
COLL 6.4.6 R (4)	Instruments of Transfer ( <i>person</i> responsible for the register)	Full details	From re- gistration	6 years
COLL 6.6.6 R (1)	General record- keeping obliga- tions (AFM)	Such as to dem- onstrate com- pliance with the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>	6 years
COLL 6.6.6 R (2)	<i>Units</i> held, ac- quired or dis- posed of (AFM)	Daily record of <i>units</i> held, ac- quired or dis- posed of by the AFM	As implicit in rules in <i>COLL</i>	6 years
COLL 6.6.6 R (3)	Dilution record- keeping obliga- tions (AFM)	How the AFM calculates and es- timates <i>dilution</i> and its policy and method for determining the amount of any <i>dilution levy</i> or <i>dilution ad- justment</i>	As implicit from the rules in <i>COLL</i>	6 years
COLL 6.6.12 R (3)	General record- keeping obliga- tions ( <i>de- pository</i> )	Such as to dem- onstrate com- pliance with the rules in <i>COLL</i>	As implicit from the rules in <i>COLL</i>	6 years

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
COLL 6.13.2 R	Portfolio <i>transactions</i> relating to a <i>UCITS</i>	Full details	After transaction	5 years
COLL 6.13.3 R	Subscription and <i>redemption</i> orders	Full details	After receipt of order	5 years
COLL 6.13.4 R	Records referred to in COLL 6.13.2 R and COLL 6.13.3 R	Full details	After termination of authorisation of <i>UCITS management company</i>	Outstanding term of 5 year period
COLL 7.8.4R(4)	The decision of the <i>governing body</i> of the <i>authorised fund manager</i>	The decision to create a <i>side pocket class</i> and the reasons for it	As implicit from the <i>rules</i> in <i>COLL</i>	5 years
COLL 8.3.8 R (2)	Minutes of meetings (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 8.5.2 R (3)(e)	General record keeping obligations (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 8.5.2 R (3)(f)	<i>Units</i> held, acquired or disposed of (AFM)	Daily record of <i>units</i> held, acquired or disposed of by the AFM	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 8.5.4 R (2)(h)	General record keeping obligation ( <i>depository</i> )	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 8.5.10 R (4)	<i>Issues</i> and <i>cancellations</i> of <i>units</i> (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>
COLL 14.3.6R	Dealings with an advisory committee	Details	As implicit from the <i>rules</i> in <i>COLL</i>	5 years
COLL 15.2.6R(3)	The <i>depository's</i> determination	The determination and the reasons for making it	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 15.5.-12BR(1)	Minutes of meetings (AGM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 15.5.-12BR(2)	Minutes of meetings of all proceedings to which COLL 15.5.-10BR and COLL 15.5.12AR are relevant	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 15.5.12R(2)	Minutes of meetings (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	6 years
COLL 15.7.2R(3)(e)	General record keeping obligations (AFM)	Full details	As implicit from the <i>rules</i> in <i>COLL</i>	As implicit from the <i>rules</i> in <i>COLL</i>

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
COLL 15.7.2R(3)(f)	<i>Units held, acquired or disposed of (AFM)</i>	Daily record of <i>units held, acquired or disposed of by the AFM</i>	As implicit from the <i>rules in COLL</i>	6 years
COLL 15.7.6R(2)(g)	General record keeping obligation (depository)	Full details	As implicit from the <i>rules in COLL</i>	As implicit from the <i>rules in COLL</i>
COLL COLL 15.7.-12BR(3)(e)	Instruments of Transfer ( <i>person responsible for the register</i> )	Full details	From registration	6 years
COLL 15.8.5R(4)	<i>Issues and cancellations of units (AFM)</i>	Full details	As implicit from the <i>rules in COLL</i>	As implicit from the <i>rules in COLL</i>
COLL TP 1.1.16	Election to comply with COLL 4.5 or COLL 8.3.5 R to COLL 8.3.5D R as those rules were in force on 5 March 2010	Details	At election	6 years

