

Chapter 14

Providing product information to clients



14.4 Provision of information by an intermediate Unitholder

14.4.1 **R** [not used]

14.4.2 **R** [not used]

14.4.3 **R** [not used]

14.4.4 **R** [not used]

14.4.5 **R** [not used]

14.4.6 **R** [not used]

14.4.7 **R** [not used]

14.4.8 **R** [not used]

14.4.9 **R** [not used]

Information requests by authorised fund managers for liquidity management purposes

14.4.10 **R** If an *intermediate Unitholder* receives a reasonable request from an *authorised fund manager* for information relating to the beneficial owners of the *units* of a *scheme* that it operates which the *authorised fund manager* reasonably needs for the purposes of liquidity management, the *intermediate Unitholder* must provide that information to the *authorised fund manager* as soon as is reasonably practicable.

14.4.11 **G** Examples of information which may be reasonably requested by an *authorised fund manager* include:

- (1) a breakdown of the total number of *units* held by the *intermediate Unitholder* in each *scheme* to indicate the number of *units* attributable to individual beneficial owners; and

(2) information about the types of distribution channel which have been used to sell the *units* to the relevant beneficial owners.

14.4.12 **G** In determining whether a request from an *authorised fund manager* is reasonable, an *intermediate Unitholder* may take into account the frequency with which such requests have been received from that *authorised fund manager*.