# APPLICATION FORM APPROVAL OF SHARES OF

# FOREIGN OPEN AND CLOSED-END MUTUAL FUNDS

# & EXCHANGE TRADED FUNDS

* **This application shall be governed by Agreement N°32 of the CCR.**
* **filling out this application does not guarantee approval of the shares herein involved.**
* **Approval of said shares makes them potentially eligible for investments by Chilean Pension Funds.**
* **please use latest application form (i.e. application form currently available at** [**www.ccr.cl**](http://www.ccr.cl)**), following and filling out all and every section herein specified.**

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| --- |
| **Revised version as of June 2023**  **(please DO NOT MODIFY the date)** |

**DOCUMENTATION TO BE SENT IN CONJUNCTION WITH THIS APPLICATION**

The following documentation and this Application Form shall be uploaded to the [“Users” Section](https://www.ccr.cl/idioma/ingles/usuarios-sesion) in CCR’s webpage in order to begin approval process:

|  |  |
| --- | --- |
| **Documentation** | **Description** |
| 1) **Letter** **from AFP** | : A letter signed with electronic signature by the “Gerente General” (“CEO”) of one of the Chilean AFP’s (*Pension Fund Managing Companies*) or the AFC (*Unemployment Fund Managing Company*), showing interest in approving the requested fund as an investment option.  The letter from the AFP or AFC interested, should be sent to the e-mail recepcion@ccr.cl, from a corporate e-mail of any of the AFPs or AFC. |
| 2)  **Preliminary Information** | : Page 3 of this Application Form, signed with electronic signature by the appropriate signatory. |
| 3)  **Statement** | : Page 4 of this Application Form, signed with electronic signature by the appropriate signatory. |
| 4)  **Updating Commitment** | : Page 5 of this Application Form, signed with electronic signature by the appropriate signatory. |
| 5) **Fund’s registration** | : A certificate issued by the relevant Regulator attesting registration of the funds in their respective countries (e.g., SEC Registration or UCITS attestation, for US and Europe respectively). |
| 6)  **Management Company’s registration** | : A certificate issued by relevant Regulator attesting registration of the Management Company (or the equivalent company responsible for conducting and managing the matters of the fund). |
| 7)  **Investment Manager’s registration** | : A certificate issued by the relevant Regulator attesting registration of the Investment Manager. |
| 8) **Articles of Incorporation** | : Certificate of Incorporation or Declaration of Trust. Charter to establish legal existence of an entity. |
| 9) **Prospectus** | : Or equivalent document. Latest valid version. |
| 10) **SAI** | : Statement of Additional Information, if applicable. Latest version issued. |
| 11)**Annual and Semi- Annual Report** | : Most updated versions. |
| 12) **Fact sheet** | : Latest fact sheet issued, not older than 3 months since this application is filed. |
| 13) **Fund Codes** | : An excel file with the codes indicated on Appendix 9 of this Application Form. |
| 14)  **Investment Manager’s ultimate parent company Annual Report** | : Latest version issued. |
| 15) **Stock Exchange Certificate** | : Only requested for ETFs and Closed-End mutual funds. |

**PRELIMINARY INFORMATION**

**This statement must be signed with electronic signature by the Chief Executive Officer or the Managing Director (or equivalent) of the appointed Management Company (or the equivalent company or individual responsible for conducting and managing the matters of the fund).**

The signatory must read the following very carefully:

1. This application shall contain information related to the management internal practices, policies and strategies and not just a transcription of the facts established in the Prospectus or Offering Circular of the Fund.
2. The application shall contain all the information and documentation required; otherwise, it will not be processed.
3. The information and documentation required shall be submitted in English or Spanish, otherwise the application will not be processed.
4. Once the foreign Open or Closed-End Mutual Funds or the Exchange-Traded Funds [[1]](#footnote-2) are approved**,** the manager shall promptly and appropriately inform to the “Comisión Clasificadora de Riesgo” (CCR) of any change or modification related to the funds and shall update this application on an annual basis during the month in which the funds are approved or in a date agreed upon jointly with CCR, sending the required information and documentation; otherwise the CCR can revoke the approval of the shares of all the funds related to the Investment Manager.
5. Likewise, I hereby swear or affirm that:
6. I have read and I understand all the information and instructions established in this application.
7. I have read and I understand the articles of the Agreement Nº 32 of the CCR [[2]](#footnote-3), concerning the approval and subsequent update of the foreign Open and Closed-End Mutual Funds and the Exchange-Traded Funds.
8. The information disclosed in this application, as well as the documentation attached, is true and complete, to the best of my knowledge.
9. I understand that the shares of the foreign Open or Closed-End Mutual Funds or the Exchange-Traded Funds managed by the Company that I represent, as well as those related to partner companies will be disapproved, if this application contains information that is false, incorrect or misleading.
10. I hereby certify that I have taken the appropriate steps to verify that no relevant information has been omitted or anything which may undermine the importance of such information.

|  |
| --- |
| Electronic Signature of Appropriate Signatory |
|  |
| Name of Appropriate Signatory |
|  |
| Position / Company Name |
|  |
| Subscription Date (dd-mmm-yyyy, i.e. 01-jan-2022) |

STATEMENT

**This statement must be signed with electronic signature by the Chief Executive Officer or the Managing Director (or equivalent) of the appointed fund’s Investment Manager ultimate parent company.**

**Important:** Should the Management Company not be connected to the fund’s Investment Manager ultimate parent company, an additional copy of this Statement shall also be filled out and signed by the parent company of the Management Company.

The undersigned, (name and title of the person who signs the statement), for and on behalf of (name of the holding company), hereby certifies that the company, its subsidiaries and related entities have a satisfactory reputation and that they are not subject of material legal action, suits, proceedings or sanctions instructed by regulatory authorities, self-regulatory organizations, shareholders or other entities.

|  |
| --- |
| Electronic Signature of Appropriate Signatory |
|  |
| Name of Appropriate Signatory |
|  |
| Position |
|  |
| Company Name |
|  |
| Subscription Date (dd-mmm-yyyy, i.e. 01-jan-2022) |

UPDATING COMMITMENT

**This commitment must be signed with electronic signature by the Chief Executive Officer or the Managing Director (or equivalent) of the appointed Management Company (or the equivalent company or individual responsible for conducting and managing the matters of the fund).**

The undersigned, (name and title of the person who signs the commitment[[3]](#footnote-4)), for and on behalf of (name of the company[[4]](#footnote-5)), which acts as manager of (name of the fund whose approval are asked for), hereby commits to CCR, from the date of approval of the fund, to:

1. Update the Application Form, on an annual basis, during the month of approval of the shares issued by the fund or sub-fund or at a date previously agreed with CCR, emphasizing the amended appendices.
2. Regularly inform about either facts that may significantly modify the information contained in the latest update, submitting the relevant appendices, or facts that may affect the interest of investors such as active breaches, sanctions, etc.
3. Provide a copy of any subsequent version of the Prospectus, SAI, Articles of Incorporation and of any amendment applied thereof.
4. Provide a copy of the latest annual and semi-annual financial reports of the fund.
5. Regularly inform about changes in the level of concentration of the ownership participation when a shareholder exceeds the authorized limit (not applicable to ETFs).
6. Regularly publish the price or net asset value per share of, at least, the classes of shares issued by the fund to be distributed to the Chilean Pension Funds, through the international media (nowadays, Bloomberg L.P and Reuters) established by the “Superintendencia de Pensiones” (Chilean Pension’s Regulator).
7. Submit any additional information that the CCR may request or require by regulation, in order to maintain the approval of the fund or sub-fund.

I am aware that breaching this Updating Commitment may result in the disapproval of the shares of the funds by CCR.

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| --- | --- | --- | --- | --- |
| Contact designated for additional requirements: | | | |  |
|  |  | |  | Electronic Signature of Appropriate Signatory |
| Name: |  | |  |  |
|  |  | |  |  |
| Email: |  | |  | Name of Appropriate Signatory |
|  | |  |  |  |
| Phone Number: | |  |  |  |
|  |  | |  | Position |
| Company: |  | |  |  |
|  |  | |  |  |
| Country: |  | |  | Company |
|  |  | |  |  |
| Address: |  | |  |  |
|  |  | |  | Date (dd-mmm-yyyy, i.e. 01-jan-2022) |

**Appendix Nº 1: IDENTIFICATION OF THE FUND OR THE SUB-FUND**

Names and Registration: *(For Umbrella funds or portfolios that have different investment policies and/or are managed separately, mention all the sub-funds whose approvals are being requested)*

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|  |  |
| --- | --- |
| Registration Country |  |
| Registration Date of Family or Fund |  |
| Registration Date of Sub-fund(s) |  |
| Period of Duration |  |

Supervisory Authorities: *(Entities that authorize and supervise the management of the fund in its registration country. Mention their main enforcement capabilities)*

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|  |

Applicable Legislation: *(Laws, regulations and/or decrees that rule the activities of the fund)*

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|  |

Legal Structure: *(Legal and management structure, defined by the legislation that rules the fund, i.e.: “Common Fund” (FCP) or “Investment Company” (e.g. SICAV, ICVC), u other in case of UCITS funds; or “Corporation”, “Business Trust”, or other in case of 1940 Act)*

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Shares: *(Principal characteristics of the shares of each fund, i.e. “distribution shares”, “accumulation shares”, “classes A, B, C of shares”, voting and dividend rights)*

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**Appendix Nº 2: HOLDING COMPANY**

**This section must include information about the ultimate parent company of the appointed Investment Manager (or the ultimate parent company of the equivalent company responsible for managing the fund’s investment portfolio, with respect to investment, divestment, and reinvestment decisions of its assets).**

**Important:** Should the Management Company not be connected to the fund’s Investment Manager ultimate parent company, an additional copy of this Appendix shall also be filled out with the information corresponding to the parent company of the Management Company.

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Registration Country |  | Registration Date |  |

Experience or Track Record: *(Brief description of its principal shareholders and business activities)*

|  |
| --- |
|  |

Ownership relation with the appointed Investment Manager (or the appointed Management Company, if applicable):

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| --- |
|  |

Assets Under Management (in US$ millions) / Date: *(Assets managed on behalf of third parties or clients, excluding assets related to services such as custody, bookkeeping or safekeeping, among others)*

|  |
| --- |
|  |

Supervisory Authorities: *(Regulatory authorities that supervise the holding company. Mention their main enforcement capabilities)*

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Applicable Legislation: (*Laws, regulations and/or decrees that rule its activities. Legal requirements of capital, or others that the company must comply with)*

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Group of Companies Ownership Structure Chart:*(Add an extra page with an overview, including a chart of the ownership structure of the Firm, its relevant related managing entities, and any parent organization)*

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|  |

Risk Rating of the Ultimate Parent Company: *(Mention the latest risk ratings available of the company**and/or its holding company)*

|  |  |  |
| --- | --- | --- |
| Rating Agency | Rating | Date of Release |
|  |  |  |
|  |  |  |

**Appendix Nº 3-A: MANAGEMENT COMPANY**

**This section must include information about the appointed Management Company of the fund (or the equivalent company responsible for conducting and managing the matters of the fund).**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Registration Country |  | Registration Date |  |

Experience or Track Record: *(Brief description of its principal shareholders and business activities)*

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| --- |
|  |

Assets Under Management (in US$ millions) / Date: *(Assets managed on behalf of third parties or clients, excluding assets related to services such as custody, bookkeeping or safekeeping, among others)*

|  |
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|  |

Supervisory Authorities: *(Regulatory authorities that supervise the company. Mention their main enforcement capabilities)*

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Applicable Legislation: (*Laws, regulations and/or decrees that rule its activities. Legal requirements of capital, or others that the company must comply with)*

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**Appendix Nº 3-B: INVESTMENT MANAGER**

**This section must include information about the Company responsible for the investment decisions of the assets of the fund.**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Registration Country |  | Registration Date |  |

Experience or Track Record: *(Brief description of its principal shareholders and business activities)*

|  |
| --- |
|  |

Assets Under Management (in US$ millions) / Date: *(Assets managed on behalf of third parties or clients)*

|  |
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|  |

Supervisory Authorities: *(Regulatory authorities that supervise the company. Mention their main enforcement capabilities)*

|  |
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Applicable Legislation: (*Laws, regulations and/or decrees that rule its activities. Legal requirements of capital, or others that the company must comply with)*

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**Appendix Nº 3-C: SUB-INVESTMENT MANAGER**

**This section must include information about the Company (or companies) appointed (if applicable) to perform the day-to-day management of the portfolio, in respect of the investments and/or re-investments of the assets of the fund.**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Registration Country |  | Registration Date |  |

Experience or Track Record: *(Brief description of its principal shareholders and business activities)*

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Assets Under Management (in US$ millions) / Date: *(Assets managed on behalf of third parties or clients)*

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|  |

Supervisory Authorities: *(Regulatory authorities that supervise the company. Mention their enforcement capabilities)*

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Applicable Legislation: (*Laws, regulations and/or decrees that rule its activities. Legal requirements of capital, or others that the company must comply with)*

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**Appendix N° 4-A: DEPOSITORY/CUSTODIAN**

**This section must include information about the Company which has been appointed as Depository/Custodian of the assets of the fund.**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Registration Country |  | Registration Date |  |

Supervisory Authorities: *(Regulatory authorities that supervise the Depository/Custodian)*

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Name of Ultimate Parent Company of the Depository/Custodian:

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| --- |
|  |

Experience or Track Record: (*Brief description of its principal shareholders and business activities)*

|  |
| --- |
|  |

Assets Under Custody (in US$ millions) /Date: *(all assets under custody, worldwide. Please, also distinguish amounts directly custodied)*

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|  |

Risk Rating of the Depository/Custodian: *(Mention the latest risk ratings available of the company**and/or its holding company)*

|  |  |  |
| --- | --- | --- |
| Rating Agency | Rating | Date of Release |
|  |  |  |
|  |  |  |

Relationship with the Management of the Fund: *(Are they connected persons or entities? Do have both the same ultimate parent company? Is one a subsidiary of the other? Is there any person who is a director of both the Depository/Custodian and the Investment Manager?)*

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**Appendix Nº 4-B:** **DISTRIBUTOR / PLACEMENT AGENT**

**This section must include information about the Company (es) or person (s) you have any sales and/or distribution agreements- local or foreign based third party- interested in the approval of shares herein involved to be distributed to Chilean Pension Funds.**

|  |
| --- |
| Name |
| Registration Country |  |  |

**Appendix N° 5: INVESTMENT OBJECTIVES AND POLICIES**2014

Sept/2013

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policies)*

|  |  |
| --- | --- |
| Name of the Fund (or sub-fund) |  |

Investment Objectives: (*Mention the purpose or objective of the fund or sub-fund)*

|  |
| --- |
|  |

Investment Policies: *(Description of the policy: benchmark, asset allocation, liquidity of its portfolio. Mention, at least, the* ***investment restrictions and criteria or diversification strategies*** *by issuer, asset class, financial instruments, geographic allocation, sector breakdown or other)*

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**Appendix N° 6: USE OF FINANCIAL DERIVATIVES POLICY**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

|  |  |
| --- | --- |
| Name of the Fund (or sub-fund) |  |

Objectives, Purposes and Strategies: *(Mention the objectives, purposes and strategies that rule the use of financial derivative operations)*

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| --- |
|  |

Approach to Risk Control:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Commitment |  | Value at Risk (VaR)/Stress Tests |  | Other |  |

Methodology: (*Detail the most relevant methodological aspects and the parameters adopted)*

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Financial Derivative Instruments: *(Mention the specific financial instruments or vehicles, and the type of operations that can be carried out)*

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| --- |
|  |

Conditions: *(Mention the conditions, topics and critical aspects that must be observed at the moment of carrying out the operations)*

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| --- |
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Legal Limits: (*Legal or Regulatory limits applied to financial derivative operations)*

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Internal Limits: (*Internal limits or policies adopted by the fund or sub-fund)*

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Maximum Limit for Uncovered Operations: (*Specific, legal or regulatory and/or internal limits, applied to uncovered financial derivative operations)*

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Additional Information: *(Mention other background or outstanding information regarding this policy)*

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Leverage: *(Mention the explicit limits established in your investment policy on the maximum leverage allowed through the use of financial derivatives, and/or in conjunction with the fund’s borrowing policy)*

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**Appendix N° 7: BORROWING POLICY**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

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| --- | --- |
| Name of the Fund (or sub-fund) |  |

Objectives, Purposes and Strategies: *(Mention the objectives, purposes and strategies that rule the borrowing policy)*

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Borrowing: *(Detail the characteristics of the borrowing: maximum borrowing limits, permitted loans or credit facilities, maturities, authorized counterparties, and other outstanding aspects)*

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Conditions: (*Mention the conditions, topics* *and critical aspects that must be observed at the moment of carrying out the operations)*

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Legal Limits: *(Legal or regulatory limits applied to borrowing operations, and maximum leverage permitted in conjunction with the use of financial derivates instruments)*

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Internal Limits: *(Internal limits or policies adopted by the fund or sub-fund)*

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Additional Information*: (Mention other background or outstanding information regarding this policy)*

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**Appendix N° 8: PLEDGE POLICY**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

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| --- | --- |
| Name of the Fund (or sub-fund) |  |

Objectives and Purposes: *(Mention the objectives and purposes that rule the policy of granting the assets of the fund to guarantee an indebtedness obligation)*

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Guarantees: *(Detail the type of guarantees, such as, pledges, hypothecates, mortgages or prohibitions, that the fund can constitute with respect to its assets)*

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|  |

Conditions: (*Mention the conditions, topics* *and critical aspects that must be observed at the moment of carrying out the operations)*

|  |
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Legal Limits: *(Legal or regulatory limits applied to the constitutions of guarantees, such as, pledges, hypothecates, mortgages or prohibitions, that involve the assets of the fund)*

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Internal Limits: *(Internal limits or policies adopted by the fund or sub-fund)*

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Third Parties Obligations: *(Specific limits, legal or regulatory and/or internal, applicable to third parties’ obligations)*

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Additional Information: *(Mention other background or outstanding information regarding this policy)*

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**Appendix N° 9: VALUATION OF THE FUND**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

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| --- | --- |
| Name of the Fund (or sub-fund) |  |

Identification of the Fund: *(Mention the reference codes for the institutional classes of shares and/or those that will be offered to the Chilean AFPs, issued by the fund or sub-fund)*

Attach the above-mentioned information in an Excel worksheet, including only the reference codes mentioned in the following table, and upload it into box 13 (funds code) of the Application created on the website of the CCR.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name of the Fund/Sub-fund: | | | | |
| Name of the Class | Isin | Cusip | Ticker  Bloomberg | Codes  Reuters |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

Publication: *(Mention means of communication, including electronic media, where the net asset value per share of the fund is published)*

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Valuation of the Portfolio: *(Methods and frequency of valuation of the assets of the portfolio of the fund)*

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|  |

Valuation of Shares: *(Methods and frequency of valuation of the shares of the fund)*

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Suspension of Valuation: (*Mention the circumstances in which the manager may suspend, restrict, or delay the valuation of the assets of the fund)*

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**Appendix N° 10: LIQUIDITY OF THE SHARES**

**Applicable to Open-End Mutual Funds**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

|  |  |
| --- | --- |
| Name of the Fund (or sub-fund) |  |

Legal Requirements: *(Legal or regulatory requirements regarding the redemption of the shares)*

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| --- |
|  |

Redemption Frequency: *(Dates in which the redemption operations can be carried out)*

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| --- |
|  |

Redemption Deadline: *(Deadline time and date to request the redemption of shares)*

|  |
| --- |
|  |

Redemption Value: *(Time and date of calculation of the prices applicable to redemption operations, mention costs associated to these transactions)*

|  |
| --- |
|  |

Settlement: *(Dates in which the redemption operations are paid, settlement period and payment procedures)*

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Redemption In-Kind: *(Manager’s ability to pay redemptions by transferring assets from the fund’s portfolio)*

|  |
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Suspension and Restriction: *(Manager’s competence to suspend, restrict or defer the redemptions. If applicable, mention the existence of mechanisms that protect shareholders from the impact of dilution or transaction costs caused* *by shareholder activity*)

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Conversion of Shares: *(Investor’s ability to convert shares of the fund in shares of other funds)*

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Additional Information: *(Mention any other information related to the ability of the shareholders to redeem)*

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**Appendix N° 11-A: LIQUIDITY OF THE INSTRUMENTS**

## Applicable to Closed-End Mutual Funds and Exchange-Traded Funds (ETFs)

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policy)*

|  |  |
| --- | --- |
| Name of the ETF or Fund |  |

**A.- Primary Market**

Repurchase: (*Legal or regulatory requirements regarding the repurchase/redemption of the securities)*

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| --- |
|  |

Repurchase Frequency: *(Mention the dates in which the issuer of these securities performs repurchase operations)*

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|  |

Repurchase/Deadline: *(Mention time and date deadline to request the repurchase of shares)*

|  |
| --- |
|  |

Repurchase Value: *(Mention the date of calculation of the prices applicable to repurchase operations)*

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**Appendix N° 11-B: LIQUIDITY OF THE INSTRUMENTS**

## Applicable to Closed-End Mutual Funds and Exchange-Traded Funds (ETFs)

**B.- Secondary Markets**

Stock Exchanges*: (Mention the Stock Exchanges where the shares are listed and can be traded)*

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Share Turnover Information*:*

|  |  |
| --- | --- |
| Initial number of shares: *(Number of outstanding shares of closed-end Funds or ETFs at the beginning of the last twelve months)* |  |

|  |  |
| --- | --- |
| Final number of shares: *(Number of outstanding shares of closed-end Funds or ETFs at the end of the last twelve months)* |  |

|  |  |
| --- | --- |
| Number of transactions: *(Total shares traded during the last twelve months)* |  |

|  |  |
| --- | --- |
| Share Turnover (%): *(Total shares traded during the last twelve months/* *average number of shares outstanding for the period)* |  |

**Appendix N° 12: STABILITY OF THE POLICIES**

*(Complete this appendix for each fund or sub-fund whose approval is asked for. Use additional sheets for a more detailed description of the policies)*

|  |  |
| --- | --- |
| Name of the Fund (or sub-fund) |  |

Stability of the Policies: *(Mention the ability of the investment manager, as well as the practices that rule the management of the fund, the shareholders, or other bodies, to modify the fund’s objectives and policies)*

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**Appendix N° 13: PROPERTY PARTICIPATION OF THE FUND**

**Applicable to Open-End Mutual Funds**

*(Complete this appendix for each fund or sub-fund whose approval is asked for)*

|  |  |  |  |
| --- | --- | --- | --- |
| Name of the Fund (or sub-fund) |  | | |
| Total Number of Shareholders |  | Date |  |

10 Largest Individual Shareholders: *(Please, complete the Shareholders Description according to the following instructions*)

1. **Investor Type:** E.g.,Mutual or Investment Fund, Pension Fund, Insurance Company, Retail Investor, Bank Distributor, etc.
2. **Shareholder related to the Management of the Fund:** Type “Yes” in case the shareholder is a fund, or an account, whose investments are managed by the same company or adviser that manages the Fund whose approval is asked for or whose contributions are held by parent companies.
3. **Nominee or Omnibus Account:** Type “Yes” in case the shareholder cannot make investment decisions, such as redemptions, on behalf of their underlying clients. If that is the case, additionally confirm that there is no underlying shareholder who holds more than 25% of the Fund.

Important: A fund, or similar account, whose investment decisions are made by a portfolio manager should not be considered a “Nominee” or “Omnibus account”.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Nº | | % | Shareholder Description | | | |
| Investor  Type | Related to the Management of the Fund (Yes/No) | Nominee or Omnibus Account (Yes/No)  (if Yes mention % of Main Underlying Holder) | Comments  (Add comments if needed) |
| 1 | Shareholder #1 |  |  |  |  |  |
| 2 | Shareholder #2 |  |  |  |  |  |
| 3 | Shareholder #3 |  |  |  |  |  |
| 4 | Shareholder #4 |  |  |  |  |  |
| 5 | Shareholder #5 |  |  |  |  |  |
| 6 | Shareholder #6 |  |  |  |  |  |
| 7 | Shareholder #7 |  |  |  |  |  |
| 8 | Shareholder #8 |  |  |  |  |  |
| 9 | Shareholder #9 |  |  |  |  |  |
| 10 | Shareholder #10 |  |  |  |  |  |

1. Mention the percentage of joint ownership interest held by funds, or accounts, related to the Management of the Fund *(i.e. whose investments are managed by the same company or adviser that manages the Fund whose approval is asked for or whose contributions are held by parent companies.*):

|  |  |
| --- | --- |
|  |  |

1. Mention if there is another group(s) of related shareholders, funds or accounts, whose investments are managed by the same company, and jointly hold a property interest in the Fund greater than 25%:

|  |  |  |
| --- | --- | --- |
| No |  | |
| Yes |  | ; what percentage? | |  |

**Appendix N° 14: ASSET ALLOCATION**

*(Complete this appendix for each fund or sub-fund whose approval is asked for)*

|  |  |
| --- | --- |
| Name of the Fund (or sub-fund) |  |

|  |  |  |
| --- | --- | --- |
| Allocation Criteria:  *(Geographical, Sector, Issuer Class, or other)* | Investment  MMUS$ | Percentage  % |
|  |  |  |
|  |  |  |
|  |  |  |
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|  |  |  |
|  |  |  |
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|  |  |  |
|  |  |  |
|  |  |  |
| Total Assets |  |  |

**Appendix N° 15: CONFLICTS OF INTEREST**

**Mention the criteria and defenses to the interests of the investors established in the Law, Regulations and Statutes of the funds or sub-funds that protect the interests of the investors from the following situations.**

Conflicts of interest between funds or sub-funds of a same manager or related:

|  |
| --- |
|  |

Conflicts of interest between a fund or sub-fund and its manager or related:

|  |
| --- |
|  |

Protection system to investors before improper practices: (*e.g.* *improper trading, market abuse, market timing, etc.)*

|  |
| --- |
|  |

1. When the foreign Open or Closed-End Mutual Funds or the Exchange-Traded Funds are mentioned, it will be understood as “shares of open-end mutual funds”, “shares of closed-end mutual funds”, or “shares of exchange-traded funds” respectively. [↑](#footnote-ref-2)
2. Full text of Agreement Nº 32 is available in [www.ccr.cl](http://www.ccr.cl) [↑](#footnote-ref-3)
3. This is the person to whom all notifications shall be remitted. [↑](#footnote-ref-4)
4. Name of the appointed Management Company (or the equivalent company or individual responsible for conducting and managing the matters of the Fund). [↑](#footnote-ref-5)