

LuxFLAG Microfinance Label - Checklist of Documents

Applicant Fund Name (as mentioned in the prospectus):

File number	Name of the document	Submitted	Applicant Remark*	LuxFLAG Check	LuxFLAG Remark
Section 1	Legal documentation – Mandatory				
1	The Letter of Intent - available here (not applicable for renewal applications).	<input type="checkbox"/>		<input type="checkbox"/>	
2	The Application Form (with data as of last quarter). Kindly use the revised template sent in the renewal email or available on our website.	<input type="checkbox"/>		<input type="checkbox"/>	
3	The prospectus of the investment vehicle.	<input type="checkbox"/>		<input type="checkbox"/>	
4	The statutes or articles of incorporation of the investment vehicle.	<input type="checkbox"/>		<input type="checkbox"/>	
5	The latest yearly or quarterly audited financial statements.	<input type="checkbox"/>		<input type="checkbox"/>	

	<i>If the audited financial statements are not available, please provide provisional financial statements (trial balance) or bank statement extracts.</i>				
Section 2	Policies and other documentation				
6	Social Performance Policy / Impact Policy / Responsible Investment Policy / ESG Policy / Sustainability Policy of the Fund or of the Asset Manager applicable to the Fund.				
7	The offering and/or marketing documents that describe if and how non-financial performance is managed by the applicant investment Fund (KIID, investor presentation, other).	<input type="checkbox"/>		<input type="checkbox"/>	
8	The latest extra-financial report (can be a Social Performance report, an Impact report, Sustainability report, SDG mapping report, monthly/quarterly factsheets, or others).	<input type="checkbox"/>		<input type="checkbox"/>	
9	Any communications made to Investors and other stakeholders during the period of the past 12 months	<input type="checkbox"/>		<input type="checkbox"/>	

10	Asset manager logo (eps, JPG and PNG format)	<input type="checkbox"/>		<input type="checkbox"/>	
11	Other (please indicate under Applicant Remark)	<input type="checkbox"/>		<input type="checkbox"/>	

*In case any of the information mentioned above is not presented as a separate document, kindly mention which document LuxFLAG should refer to.

CONFIRMATIONS

For the purpose of the application for the LuxFLAG label, the applicant investment fund confirms that as of the end of the last quarter:

1. All portfolio items are in compliance with the investment criteria of the fund.
2. All portfolio items are in compliance with the social performance management policy/impact measurement mechanism of the applicant fund (if not, please provide a list of such investees).
3. None of the portfolio items were divested due to non-compliance reasons within the last 12 months (if so, please provide a list).

DECLARATION

By making this application, the undersigned hereby confirm(s) on behalf of the Applicant Investment Fund that:

- the information provided as part of the application package has been extracted from the books and records of the Applicant Investment Fund and presents fairly, accurately and completely in all material the information requested by LuxFLAG, as described herein and in the related documents;
- it/they commit(s) to promptly respond to any request for information made by LuxFLAG throughout the labelling process;
- it/they acknowledge(s) that upon presentation of the Applicant Investment Fund to the LuxFLAG's Board of Directors, the fees pertaining to the granting of the LuxFLAG label are due, whatever decision shall be taken by the said Board.
- the Applicant Investment Fund undertakes to comply with LuxFLAG's Terms & Conditions as available [here](#), should the Applicant Investment Fund be granted the LuxFLAG Label. To this end, the undersigned confirm(s) having read the LuxFLAG's Terms & Conditions.

Authorised Signature/s:	
Name/s:	
Date:	

For LuxFLAG use	
Verified by:	
Date:	