

FINANCIAL SERVICES COMMISSION

MUTUAL FUNDS ACT CAP. 320B AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL LICENCE:

Mutual fund administrators/managers – General / Restricted

Instructions for using the checklist

1. The checklist must accompany completed applications¹
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. Persons who may certify documents include; a Justice of the Peace, Attorney-at-law, or a Notary Public.
3. All documents that are not in English must be accompanied by a certified English translation.
4. "N/A" should be used where a document outlined below is not applicable.

State full name: _____

The following have been submitted:

<input type="checkbox"/>	Completed application form
<input type="checkbox"/>	Documentary evidence of stated equity capital (<i>unless an applicant for a restricted administrator licence</i>) [S19(1)(b)(ii)(A)]
<input type="checkbox"/>	Copies of approved documents from the Registrar of Corporate Affairs and Intellectual Property Office regarding <u>any changes</u> to the constitutive documents in accordance with Section 197 of the Companies Act
<input type="checkbox"/>	Documentary evidence of guarantees, insurance cover, other financial support required by the Commission
<input type="checkbox"/>	Due Diligence Requirements if there are any new Directors, senior officers or beneficial owners

ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

FEES

Payment has been submitted based on the following:

	Category	Prescribed fee
<input type="checkbox"/>	General administration licence	BDS\$5,000
<input type="checkbox"/>	Restricted administration licence	BDS\$2,500

Payment method

Cheque No.: _____ Draft No.: _____ Wire Transfer (provide confirmation)

¹ The application form must be accompanied by such other information or documentation known to the Applicant required to support the application.