

**FINANCIAL SERVICES COMMISSION**

**MUTUAL FUNDS ACT, CAP. 320B AND ITS REGULATIONS**

**CHECKLIST - APPLICATION FOR ANNUAL LICENCE:**

**Mutual funds – General / Limited Investors / Exempt**

**Instructions for using the checklist**

1. The checklist must accompany completed applications<sup>1</sup>
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.

Select the appropriate option:

**The application is being submitted for:**

Mutual Fund Licence (General)

Mutual Fund Licence - Limited Investors

Mutual Fund Licence - Exempt

**State full name:** \_\_\_\_\_

**The following have been submitted:**

<input type="checkbox"/>	Completed application form <sup>2</sup>
<input type="checkbox"/>	Copies of approved documents from the Registrar of Corporate Affairs and Intellectual Property Office <u>regarding changes</u> to the constitutive documents in accordance with Section 197 of the Companies Act
<input type="checkbox"/>	Due Diligence Requirements if there are any new Directors

**ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION**

1	
2	

**FEES**

Payment has been submitted based on the following:

		Prescribed fee / Total fees
<input type="checkbox"/>	Mutual Fund Licence (single fund)	BDS\$5,000
<input type="checkbox"/>	Mutual Fund Licence (fund with sub-funds) No. of sub-funds: _____	BDS\$

**Payment method**

Cheque No.: \_\_\_\_\_  Draft No.: \_\_\_\_\_  Wire Transfer (provide confirmation)

<sup>1</sup> The application form must be accompanied by such other information or documentation known to the Applicant required to support the application

<sup>2</sup> Signed by a director of the fund