

FINANCIAL SERVICES COMMISSION

MUTUAL FUNDS ACT, CAP. 320B AND ITS REGULATIONS

CHECKLIST - LICENSING OF ADDITIONAL FUNDS/SUB-FUNDS

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.

Select the appropriate option:

- The application is being submitted for:**
- Licensing of a new sub-fund
 - Mutual Fund Licence (General)
 - Mutual Fund Licence - Limited Investors
 - Mutual Fund Licence - Exempt

State full name of the licensee: _____

State full name of the new fund/sub-fund: _____

The following have been submitted:

<input type="checkbox"/>	Mutual Fund Licence Application
<input type="checkbox"/>	Administrator Agreement
<input type="checkbox"/>	Trust Deed (in respect of unit trusts)
<input type="checkbox"/>	New/ Supplemental Offering Memorandum
<input type="checkbox"/>	Register of Directors
<input type="checkbox"/>	Due diligence requirements if there are any new Directors

ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

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

FEES		
Payment has been submitted:		
		Prescribed fee / Total fees
<input type="checkbox"/>	Mutual Fund Licence (single fund)	BDS\$10,000
<input type="checkbox"/>	Mutual Fund Licence (fund with sub-funds) No. of sub-funds: _____	BDS\$
Payment method		
<input type="checkbox"/> Cheque No.: _____ <input type="checkbox"/> Draft No.: _____ <input type="checkbox"/> Wire Transfer (provide confirmation)		