



FINANCIAL SERVICES
COMMISSION

(Regulation 2)

Mutual Funds Act
(Act 2002 – 22)

Application for a Mutual Fund for an Administration Licence

A. The Administrator:

(1) Name: _____

(2) Address: _____

(3) Phone: _____

(4) Registered Office: _____

*(5) Application for:

(a) general administration licence;

(b) restricted administration licence;

(6) Date and Country of incorporation or registration:

(7) Where the applicant is a company

(a) state

(i) place and date of incorporation

(ii) authorised and stated share capital;

(iii) names and addresses of shareholders owing 20 per cent or more of the shares in the company;

(iv) if applicable, the name of the Stock Exchange which the company is listed;

(v) names and addresses of the directors;

(vi) names and addresses of its principal executive officers and resumé of each officer;

*Tick the appropriate box

(b) if the applicant is an individual state, produce or produce evidence of

- (i) nationality;
- (ii) place of birth;
- (iii) date of birth;
- (iv) address

(8) Licensed Financial Institution? Yes No

(9) Date Licence issued:

(10) Last Renewal Date of Licence:

(11) Describe the mutual funds now being administered by the applicant and state for how long the applicant has been the administrator.

(12) Provide details of ownership and the corporate structure, including name and address of ultimate beneficial owner:

B. The Auditor:

(13) Name: _____

(14) Business Address: _____

(15) Date of appointment of auditor: _____

C. Information to be submitted as part of the application:

Submit

- (a) where the application is for a restricted administration licence, the name and type of funds to be administered;
- (b) a summary of services to be provided by the administrator;
- (c) the resumé of each director and executive officer;
- (d) a statement setting out applicant's experience in administration of mutual funds;
- (e) a letter of accreditation of the administrator;
- (f) copy of the most recent audited accounts;

- (g) auditor's letter indicating acceptance of appointment as auditors;
- (h) statement indicating the period comprising the financial year of the administrator and the dates for submission of the financial statements;

For and on behalf of:

Name of Mutual Fund

By: (Name of signatories)

Date

Name of Mutual Fund Administrator