

APPLICATION FOR REGISTRATION OF MUTUAL FUND

1. Name of company, unit trust or partnership which is the mutual fund applying for registration

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2. Where a company –

(a) registered office of company

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(b) date of incorporation

(c) place of incorporation

(d) names and addresses of directors

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(e) name and address of parent company

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(f) name and address of regulator of parent company

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3. Where a unit trust, names and addresses of trustees

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4. Where a partnership, name and address of partnership and of each partner.

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5. Local management company -

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6. Name and address of auditor
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7. Name and address of proposed custodian of documents and records
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Information to Accompany Form

- (a) Evidence that the mutual fund is constituted under the laws of the Islands and -
- (i) is authorised to issue equity interests only to investors who meet the qualifications in regulation 4; or
 - (ii) its equity interests are listed on a stock exchange including over the counter market, recognised by the Permanent Secretary, Finance for the purposes of section 4(1) of the Ordinance and with a notice of recognition *published in the Gazette*;
- (b) Three references one of financial character from a bank with which the applicant has had a long standing relationship;
- (c) Curriculum vitae for the promoter and operator of the mutual fund together with biographical details including proof of identity, past experience and qualifications;
- (d) A copy of the audited accounts for the past two years if available;
- (e) Where a company a copy of the memorandum and articles of association and the certificate of incorporation;
- (f) Where a unit trust, a copy of the trust deed;
- (g) Where a partnership, a copy of the partnership agreement;
- (h) A copy of the proposed management agreement;
- (i) A copy of the proposed prospectus; and
- (j) the address of the applicant's office in the Islands.