

CHECKLIST FOR REGISTRATION OF LOCAL COLLECTIVE INVESTMENT SCHEMES

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Issuer must be a registered reporting issuer.	<input type="checkbox"/>	
2.	Form 9 – Distribution Statement.	<input type="checkbox"/>	
3.	Registration fees*: <ul style="list-style-type: none"> • Distribution Statement filing fee of TT\$1,000. • For closed ended CIS, Market access fees of 0.01% of the value of the funds to be raised, subject to a minimum of \$1,000. For open ended CIS, this fee is based on the value of funds raised in previous year (based on Audited Financial Statements). 	<input type="checkbox"/>	
4.	Prospectus covering the securities to be issued. As far as is reasonably practicable, the form and content of the prospectus should comply with the provisions of the Commission’s Guidelines for Collective Investment Schemes. Please also include: <ul style="list-style-type: none"> • Copies of all expert reports named in the prospectus. • Signed consent letters from auditors and any other experts named in the Prospectus. • A duly completed Checklist for Prospectuses of Collective Investment Schemes. 	<input type="checkbox"/>	
5.	Prospectus filing fee* – TT\$17,500.	<input type="checkbox"/>	
6.	Submission of all legal documents/managerial agreements constituting the securities to be registered.	<input type="checkbox"/>	
7.	Proof of Sponsor’s ability to meet the initial investment of TT\$5,000,000.	<input type="checkbox"/>	
8.	Proof of Sponsor’s ability to meet the initial capital for set up expenses of TT\$2,000,000.	<input type="checkbox"/>	
9.	A schedule outlining the identities of the parties who will be service providers for the CIS (please note that the party responsible for the distribution of the CIS must be	<input type="checkbox"/>	

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INVESTMENT SCHEMES**

	Documents	Submitted	Comments
	registered with the Commission as a Broker-Dealer).		

Signature

Date

** Please note that all fees are payable at the submission of the application and are **non-refundable**. Additionally, please submit the completed checklist together with the application.*

