

**CHECKLIST FOR AUTHORISATION AS A RESPONSIBLE PERSON AS
PER BYE-LAW 35 OF THE SECURITIES (COLLECTIVE INVESTMENT
SCHEMES) BYE-LAWS, 2023**

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Form 26	<input type="checkbox"/>	
2.	Registration Fee* - TT\$20,000.	<input type="checkbox"/>	
3.	Form 26 – Appendix I for each Director	<input type="checkbox"/>	
4.	Certified copy of incorporation documents. Where incorporated abroad, you are required to submit proof of registration as an External Company.	<input type="checkbox"/>	
5.	Certified copy of most recent Annual Return that was filed with the Companies Registrar.	<input type="checkbox"/>	
6.	Evidence of being licensed under the Financial Institutions Act to conduct business as a Trust Company. Where the applicant is not licensed under the Financial Institutions Act, submit evidence of ability to satisfy capital requirements - minimum issued and paid-up capital of TT\$2 million. <i>Evidence of satisfying the capital requirement would include Audited financial statements or where the Applicant has not completed its first financial year of operations, an Opening Balance Sheet as well as the most recent Management Accounts.</i>	<input type="checkbox"/>	
7.	Identification of Officers, Agents or Employees in the employ of the Responsible Person who have qualifications, expertise and experience in the CIS or Securities Industry.	<input type="checkbox"/>	
8.	A copy of the Applicant’s written supervisory, internal controls and risk management policies and procedures which demonstrates the applicant’s compliance with Bye-Law 35(1)(e).	<input type="checkbox"/>	
9.	A copy of a valid government issued identification of Designated Officer.	<input type="checkbox"/>	
10.	A list of the directorships held by current directors of the Applicant in other companies.	<input type="checkbox"/>	

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Signature of Designated Person

Date

This Checklist does not preclude the Commission from requesting further information as required.

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.

