

**CHECKLIST FOR AUTHORISATION OF A COLLECTIVE  
INVESTMENT SCHEME AS PER BYE-LAW 10 OF THE SECURITIES  
(COLLECTIVE INVESTMENT SCHEMES) BYE-LAWS, 2023**

Name of Sponsor: \_\_\_\_\_

	<b>Documents</b>	<b>Submitted</b>	<b>Comments</b>
<b>1.</b>	<a href="#">Form 25</a>		
<b>2.</b>	The CIS must be registered as a Reporting Issuer in accordance with Section 61(1) of the Act	<input type="checkbox"/>	
<b>3.</b>	The CIS must be registered as a Security in accordance with Section 62(1) of the Act	<input type="checkbox"/>	
<b>4.</b>	Prospectus prepared in accordance with the Securities (Collective Investment Schemes) Bye-Laws, 2023	<input type="checkbox"/>	
<b>5.</b>	Key Facts Statement prepared in accordance with the Securities (Collective Investment Schemes) Bye-Laws, 2023	<input type="checkbox"/>	
<b>6.</b>	<p>Documentary evidence of the appointment of the following persons and confirmation as to whether any of these persons are domiciled in a foreign jurisdiction:</p> <p>(i) a CIS manager that is duly registered in accordance with the Act and the Securities (Collective Investment Schemes) Bye-Laws, 2023;</p> <p>(ii) a Custodian;</p> <p>(iii) a Responsible Person;</p> <p>(iv) an Administrator/Registrar; and</p> <p>(v) a Distributor.</p> <p>Where the Responsible Person will also be performing the functions of Custodian, please request approval of the Commission in accordance with Bye-Law 45(2).</p>	<input type="checkbox"/>	
<b>7.</b>	Constituent Documents of the Collective Investment Scheme	<input type="checkbox"/>	
<b>8.</b>	Documentary evidence demonstrating that either the Sponsor or the CIS manager has the capacity to and shall invest an initial capital of at least five million dollars in Trinidad and Tobago dollars, or the equivalent amount in another currency, in the units of the CIS	<input type="checkbox"/>	
<b>9.</b>	The latest audited financial statements of the CIS, if any, and if more recent, the latest interim financial statements	<input type="checkbox"/>	
<b>10.</b>	The latest audited financial statement of the CIS manager and the responsible person	<input type="checkbox"/>	
<b>11.</b>	A letter identifying a designated person for the CIS Manager and the Responsible Person;	<input type="checkbox"/>	

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	<b>Documents</b>	<b>Submitted</b>	<b>Comments</b>
<b>12.</b>	The service level agreement with a third party for any outsourced functions, where such outsourcing is applicable and permissible	<input type="checkbox"/>	

\_\_\_\_\_  
Signature

\_\_\_\_\_  
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.*

