

## FORM 8A

### REPORTING ISSUER REGISTRATION FORM FOR COLLECTIVE INVESTMENT SCHEMES

Pursuant to section 61(1) OR 61(2) of the Securities Act, Chapter 83:02, Bye-law 25(1) of the Securities (General) Bye-Laws, 2015 and Bye-law 10(1) of the Securities (Collective Investment Schemes) Bye-Laws, 2023

|                              |  |
|------------------------------|--|
| <b>General Instructions:</b> | <p>This form is required to be completed in support of applications for registration of Collective Investment Schemes (“CIS”) as Reporting Issuers. Where the CIS is constituted or organised:</p> <ul style="list-style-type: none"><li>• via a Trust Deed or Declaration of Trust, the Trustee will be that CIS’s Responsible Person and will be required to sign this Form on behalf of the CIS;</li><li>• as a Corporation, the Responsible Person will be the Corporation itself and the relevant senior officers of the Corporation will be required to sign this Form on behalf of the CIS.</li></ul> <p>Please complete all relevant sections. Where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced.</p> |
| <b>Item 1</b>                | Mark “x” in the relevant checkbox to indicate whether this is an initial application for registration under section 61(1) or the filing of a revised registration statement under section 61(2) of the Securities Act, Chapter 83:02.  |
| <b>Item 2</b>                | State the exact name of the Collective Investment Scheme as specified in its constituting or organisational documents.   |
| <b>Item 3</b>                | <p>Mark “x” in the relevant checkboxes to describe the Collective Investment Scheme’s form of incorporation or organisation, its jurisdiction of incorporation or organisation, and whether the CIS is open-ended or closed-ended.</p> <p>State the Financial Year End of the Collective Investment Scheme. Where this form is being filed:</p> <ul style="list-style-type: none"><li>○ pursuant to an initial application for registration, state only the day and month of the CIS’s financial year end; and</li><li>○ pursuant to a revised registration statement filing requirement, state the most recently completed financial year end of the CIS (day, month and year).</li></ul> <p>Please also state the reporting currency of the CIS.</p>   |
| <b>Item 4</b>                | State the date of incorporation or organisation of the Collective Investment Scheme. Where the CIS is not yet formally constituted or organised, state the date on which it is expected that the CIS will be formally constituted.   |
| <b>Item 5</b>                | Provide the contact information for the CIS’s Responsible Person.  |

|                |  |
|----------------|--|
| <b>Item 6</b>  | Where the Collective Investment Scheme is a foreign Collective Investment Scheme, state the name and provide contact information for CIS's Agent for Service of Process in Trinidad and Tobago.  |
| <b>Item 7</b>  | State the name and provide contact information for the Designated Officer of the Responsible Person of the Collective Investment Scheme. This person will be the primary contact with the Commission with respect to the Collective Investment Scheme.   |
| <b>Item 8</b>  | State the name and provide contact information for the CIS's service providers. At minimum, the applicant must identify and provide contact information for CIS's Auditor, the CIS Manager and where applicable the CIS's Custodian. Insert additional rows as needed.   |
| <b>Item 9</b>  | Provide a description of all securities that the Collective Investment Scheme has issued or proposes to issue. This description shall include the type of CIS, currency of issue, whether the CIS is open or closed ended, whether the CIS maintains a fixed or floating Net Asset Value (where applicable).                               |
| <b>Item 10</b> | Please provide any additional information required to establish the CIS's qualification and suitability for registration as a Reporting Issuer.  |
| <b>Item 11</b> | Date the application. Include the signature of the Chief Executive Officer and two directors of the Responsible Person of the CIS. Where the Chief Executive Officer is unavailable to sign the Form, the form should be signed by any other duly authorised senior officer whose proof of authorisation must be submitted with this form. |

**FORM 8A**

**REPORTING ISSUER REGISTRATION FORM FOR COLLECTIVE INVESTMENT SCHEMES**

**Pursuant to section 61(1) OR 61(2) of the Securities Act, Chapter 83:02 , Bye-law 25(1) of the Securities (General) Bye-Laws, 2015 and Bye-law 10(1) of the Securities (Collective Investment Schemes) Bye-Laws, 2023**

1. TYPE OF SUBMISSION

|         |                          |
|---------|--------------------------|
| Initial | <input type="checkbox"/> |
| Revised | <input type="checkbox"/> |

2. NAME OF COLLECTIVE INVESTMENT SCHEME

|                                      |
|--------------------------------------|
| Name of Collective Investment Scheme |
|                                      |

3. COLLECTIVE INVESTMENT SCHEME PROFILE

| <b>Form of Incorporation or Organisation</b>                          |                          |
|---|--------------------------|
| Trust   | <input type="checkbox"/> |
| Corporation   | <input type="checkbox"/> |
| Other   | <input type="checkbox"/> |
| If "Other", please specify below:                                     |                          |
|   |                          |
| <b>Jurisdiction of Incorporation or Organisation</b>                  |                          |
| Local   | <input type="checkbox"/> |
| Foreign   | <input type="checkbox"/> |
| If "Foreign" above, please specify:                                   |                          |
| a. Jurisdiction of incorporation or organisation:                     |                          |
|   |                          |
| b. Name and contact information for regulator in country of domicile: |                          |
|   |                          |
| <b>Type of Collective Investment Scheme</b>                           |                          |
| Open-End  | <input type="checkbox"/> |
| Closed-End  | <input type="checkbox"/> |
| Other   | <input type="checkbox"/> |
| If "Other", please specify below:                                     |                          |
|   |                          |
| Financial Year End (DD/MM)  |                          |
| Currency  |                          |

4. DATE OF INCORPORATION OR ORGANISATION

|  |  |
|--|--|
| Date of Incorporation<br>(dd/mmm/yyyy) |  |
|--|--|

5. COLLECTIVE INVESTMENT SCHEME CONTACT INFORMATION

|                             |  |                             |  |
|-----------------------------|--|-----------------------------|--|
| Primary Business Address    |  |                             |  |
| Work Phone (1-xxx-xxx-xxxx) |  | Fax Number (1-xxx-xxx-xxxx) |  |
| Website                     |  | Email Address               |  |

6. ADDRESS OF APPLICANT FOR SERVICE OF PROCESS

**Applicable if the applicant is NOT incorporated, organised or domiciled in Trinidad and Tobago**

|                             |  |                             |  |
|-----------------------------|--|-----------------------------|--|
| Local Business Address      |  |                             |  |
| Work Phone (1-xxx-xxx-xxxx) |  | Fax Number (1-xxx-xxx-xxxx) |  |
| Website                     |  | Email Address               |  |

7. DESIGNATED OFFICER INFORMATION

|   |  |
|---|--|
| Name (First Name, Middle Name, Last Name) |  |
| Position in Organisation                  |  |
| Residential Address                       |  |
| Home Phone (1-xxx-xxx-xxxx)               |  |
| Work Phone (1-xxx-xxx-xxxx)               |  |
| Mobile Phone (1-xxx-xxx-xxxx)             |  |
| Email Address                             |  |

8. KEY SERVICE PROVIDERS OF THE COLLECTIVE INVESTMENT SCHEME

| Service Provider | Name | Contact Information |
|------------------|------|---------------------|
| Auditor          |      |                     |
| Custodian        |      |                     |
| CIS Manager      |      |                     |
|                  |      |                     |
|                  |      |                     |

9. SECURITIES ISSUED BY COLLECTIVE INVESTMENT SCHEME

Describe the classes or categories of securities issued or to be issued by the Collective Investment Scheme

10. OTHER INFORMATION

| Please provide any additional information required to establish the Applicant's/Reporting Issuer's qualification and suitability for registration |
|---|
|   |

11. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statements and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, Chapter 83:02. I understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, Chapter 83:02.

\_\_\_\_\_  
Signature  
Date:

\_\_\_\_\_  
Signature  
Date:

\_\_\_\_\_  
Signature  
Date: