



**DOCUMENT CHECKLIST FOR APPLICATIONS TO REGISTER COLLECTIVE INVESTMENT SCHEMES**

|    | <b>DOCUMENTS REQUIRED</b>  | <i>Applicant</i><br>√ | <i>FSC</i><br>√ |
|----|--|-----------------------|-----------------|
| 1  | Application form   |                       |                 |
| 2  | Application fee  |                       |                 |
| 3  | Proof of registration of the CIS under the Companies Act (if applicable)   |                       |                 |
| 4  | Copy of trust deed (CIS established as a Trust)  |                       |                 |
| 5  | Copy of certificate of incorporation for the CIS Manager   |                       |                 |
| 6  | Copy of certificate of incorporation for the trustee   |                       |                 |
| 7  | Copy of certificate of incorporation for the custodian   |                       |                 |
| 8  | Copy of agreement between CIS manager and trustee  |                       |                 |
| 9  | Copy of agreement between CIS manager and custodian  |                       |                 |
| 10 | Notarized copies of governing statute for the CIS (for overseas CIS only)  |                       |                 |
| 11 | Certificate of good standing for CIS (for overseas CIS only)   |                       |                 |
| 12 | List of persons authorized to sign on behalf of the CIS, including specimen signatures   |                       |                 |
| 13 | Latest audited financial statements for existing CIS   |                       |                 |
| 14 | Latest audited financial statements of CIS manager   |                       |                 |
| 15 | Latest audited financial statements of trustee   |                       |                 |
| 16 | Latest audited financial statements of custodian   |                       |                 |
| 17 | Offering and marketing material for the CIS  |                       |                 |
| 18 | Certificate from an attorney/ responsible officer that the offering document is in compliance with the registration requirements |                       |                 |
| 19 | Proposed application form(s) and other contractual documents to be signed by investors   |                       |                 |
| 20 | Names of dealers and copies of any written contracts which will govern the dealers acting as agents for the CIS                  |                       |                 |
| 21 | A written profile of directors and officers of the CIS Manager   |                       |                 |
| 22 | A written profile of directors and officers of the trustee   |                       |                 |
| 23 | A written profile of directors and officers of the custodian   |                       |                 |
| 24 | Completed fit and proper questionnaires for every director and officer of the CIS Manager  |                       |                 |
| 25 | Completed fit and proper questionnaires for every director and officer of the trustee  |                       |                 |
| 26 | Completed fit and proper questionnaires for every director and officer of the custodian  |                       |                 |
| 27 | Resumes of directors and officers of the CIS Manager   |                       |                 |
| 28 | Resumes of directors and officers of the trustee   |                       |                 |
| 29 | Resumes of directors and officers of the custodian   |                       |                 |
| 30 | Police reports for the directors and officers of the CIS Manager   |                       |                 |
| 31 | Police reports for the directors and officers of the trustee   |                       |                 |
| 32 | Police reports for the directors and officers of the custodian   |                       |                 |
|    |  |                       |                 |



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|-----------|--|------------------|------------|
|           |  | √                | √          |
| <b>33</b> | Name and contact number of one character reference for directors and officers of the CIS Manager   |                  |            |
| <b>34</b> | Name and contact number of one character reference for directors and officers of the trustee   |                  |            |
| <b>35</b> | Name and contact number of one character reference for directors and officers of the custodian   |                  |            |
| <b>36</b> | Proof of adequate liability insurance for the custodian  |                  |            |
| <b>37</b> | Certificate from the compliance officer that there was full compliance with the registration requirements  |                  |            |
| <b>38</b> | A statement signed by the directors of the CIS manager and trustee/ custodian that to the best of their knowledge the CIS manager, trustee /custodian will be operated independently of each other |                  |            |
| <b>39</b> | A Business Plan (3 years or longer) for the CIS  |                  |            |

*Key: CIS – Collective Investment Scheme*

**Submitted by Applicant..... Date.....**

**For Official Use Only:**

|  |  |
|--|--|
| <p><b>Documents checked by FSC's Records Department</b></p> <p>Signed by: .....<br/>(Records Officer)</p> <p>Date: .....</p> <p>Total # of Enclosures (including cover letter) .....</p> | <p><b>Documents Received by FSC's Registration Department</b></p> <p>Signed by: .....<br/>(Registration Officer)</p> <p>Date: .....</p> <p>Total # of Enclosures (including cover letter).....</p> |
|--|--|

**Received by Securities Division: ..... Total # of Enclosures.**