

GENERAL REGISTRATION INFORMATION
CORPORATE ENTITIES - DOCUMENT CHECKLIST

Yes No

Administrator or Investment Manager

- | | | |
|---|-----|-----|
| 1. Completed Application for licensing of Administrators or Investment Managers and Registration of Corporate Trustees | [] | [] |
| 2. Incorporation documents | [] | [] |
| 3. Audited Financial Statements for the last three financial years | [] | [] |
| 4. Latest Annual Report | [] | [] |
| 5. Certification of tax compliance, valid as at the date of application | [] | [] |
| 6. List of shareholders and shareholdings of parent company or ultimate holding company if latter is different | [] | [] |
| 7. Documents pertaining to the designated <i>Responsible Officer (see Checklist)</i> | [] | [] |
| 8. Corporate Organization Chart showing (parent, ultimate holding, fellow subsidiaries and associated companies) | [] | [] |
| 9. List of <i>covered persons</i> | [] | [] |
| 10. Fit and Proper Questionnaire for each <i>covered person</i> | [] | [] |
| 11. Certified copies of academic certificates for each <i>covered person</i> | [] | [] |
| 12. Resume and Police Report for each <i>covered person</i> | [] | [] |
| 13. Confidential report from current and previous employers for each <i>covered person</i> | [] | [] |
| 14. Three-year business plan | [] | [] |
| 15. Certificates of fulfillment of prescribed capital and solvency requirements (not yet prescribed)
Investment Manager: Documentary evidence of fidelity guarantee and professional indemnity coverage which exceeds the limits prescribed
(Professional Indemnity Limit: Minimum \$5m & Fidelity Guarantee Limit: Minimum \$10m) | [] | [] |
| 16. Certificate of solvency requirements (not yet prescribed)
Administrator: Doc. evidence of professional indemnity coverage which exceeds the limits prescribed (Professional Indemnity Limit: Minimum \$5m) | [] | [] |
| 17. Application fee | [] | [] |

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Name

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Signature