

SECURITIES COMMISSION OF THE BAHAMAS

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THE INVESTMENT FUNDS ACT 2019 & REGULATIONS, 2020

Third Schedule (Regulation 81)

FORM B

Application Form for an Investment Fund Manager's Registration

(1) Details of the Applicant

Name: _____

Address: _____

Telephone Number: _____

Fax Number: _____

Email Address (if any): _____

Contact Person (if a Company): _____

(2) Type of Applicant (Individual, Company or Partnership): _____

(a) Provide the following:

- (i) a complete resume, if individual; and
- (ii) Audited or unaudited financial statements, in the case of a company or partnership.

(3) Additional Information

(a) In the case of an Investment Fund Manager registered under the Securities Industry Act 2011-

(i) Registration Number: _____

(b) In the case of an Investment Fund Manager licensed or registered in a prescribed jurisdiction, provide:

(i) Copy of licence;

(ii) State level of regulatory capital: _____

(iii) Level of professional indemnity insurance maintained:

(c) In the case of an Investment Fund Manager not registered under the Securities Industry Act 2011 or licensed in a prescribed jurisdiction –

(i) In the case of an individual –

(aa) copy of passport; and

(bb) original or certified copy of police certificate.

(ii) In the case of a Company –

(aa) certificate of incorporation;

(bb) constitutive documents;

(cc) register of shareholders and directors; and

(dd) due diligence documents on all directors and shareholders.

THE APPLICATION SHOULD BE ACCOMPANIED BY THE FOLLOWING DOCUMENTS

- Copies of certificates and other documents of proof for information contained in submitted resumes
- Financial Statements (if any)
- Prescribed application fee (non-refundable)
- Other documentation as requested by the Commission

ATTESTATION:

We, the undersigned, hereby affirm that to the best of our information, knowledge and belief, the contents of this application are correct and true.

Name of Applicant

Signed on behalf of the Applicant

Date

Completed applications should be submitted to:

The Supervision Department
Securities Commission of the Bahamas