

SECURITIES COMMISSION OF THE BAHAMAS

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THE INVESTMENT FUNDS ACT 2019 & REGULATIONS, 2020

Third Schedule (Regulation 83)

FORM D

Application Form for an Investment Fund Administrator's Licence

(1) Details of the Applicant

Name: _____

Address: _____

Telephone Number: _____

Fax Number: _____

Email Address (if any): _____

(2) Type of Licence (Unrestricted / Restricted): _____

(3) Details of the Applicant's Principal Office in The Bahamas

Address: _____

Telephone Number: _____

Fax Number: _____

(4) Registered Office in The Bahamas

Address: _____

(5) Records in The Bahamas

Address where administration records of the investment funds under its administration are available in The Bahamas:

(6) General Details – State or provide, as applicable:

(a) Place and date of incorporation and registered office:

(b) Authorized Share Capital:

(c) Shareholder's Equity:

(d) If private company, provide the following details on principal shareholders:

- (i) a complete resume
- (ii) financial and net worth statements certified by their accountants or bankers

(e) If a public company, provide the name and address of the body that provides regulatory oversight:

(f) A complete resume for every Director and the Chief Executive Officer of the company;

(g) A complete resume for senior officers including compliance officer, investment funds manager and chief financial officer;

(h) Audited financial statements for the past two years (where available);

(i) Current quarterly unaudited financial statements (where available);

(j) If applicant is a holder of a licence under the provisions of section 4 of the Banks and Trust Companies Regulation Act, provide a copy of its licence;

(k) Auditors

Name:

Address:

Name of Accounting Body that the auditor is registered with:

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