



SCHEDULE

APPROVED INVESTMENT MANAGER APPLICATION FORM

[Paragraph 1.1, 1.6 and 2.1]

[Regulation 4]

IB-A1

1) Applicant's Details¹

Name of Applicant:

Date of Incorporation or Formation:

(dd)

(mm)

(yy)

BVI Business Company BVI Limited Partnership

Registration No:

Address:

2) Commencement of Business

Date on which applicant intends to commence business activity

(dd)

(mm)

(yy)

2A) Authorised Representative

Name of applicant's designated authorised representative:

3) Underlying Principals' Details:

(to be completed in relation to each person holding an interest in the applicant)

Individual

Shareholder or Controller	Address	Name of Beneficial Owner	% of shares held

Corporate

Corporate Shareholder	Address	Name of Individual Representative	Name of Beneficial Owner	% of shares held

4) Details of Directors/General Partners and Senior Officers²

	Name	Address	Position(s) Held (e.g. Director, Manager, Partner or equivalent position)
a)			
b)			
c)			
d)			
e)			
f)			

* Please provide as an attachment and properly marked, (eg. exhibit 4a, b, c) a brief biography of each Individual Director, General Partner or Senior Officer.

5) Details of Persons To Whom Services Will Be Provided ³

a) How many persons does the applicant intend to act for?

b) Provide details of each person the applicant intends to act for:

Name of Person	Indicate whether (N)ew or (E)xisting Relationship	Address	Place of Incorporation or Registration	Date of Incorporation or Registration	*Value of Current Assets Held or Monies Intended to Be Raised or Capital Commitments for Each Person	Capacity in which Applicant will act (i.e. Adviser, Manager or Adviser and Manager)

* Please indicate current total assets for each existing person, or the total amount of monies intended to be raised (for open ended funds) or capital commitments (for closed ended funds) for each new person.

6) Investment Functions⁴

Please provide the following details for the individual(s) who will carry out the day-to-day Investment Business functions:

	Name	Address	Position Held
a)			
b)			
c)			
d)			
e)			
f)			

* Please provide as an attachment and properly marked, (eg. exhibit 6a, b, c) a brief biography of each individual.

7) Delegation of Investment Business Functions: ⁵

a) Does the applicant intend to delegate any of its investment business functions?

Yes No

b) Please indicate which functions are to be delegated and to whom:

	Delegated Function	Entity Responsible for Delegated Function	Jurisdiction In Which Entity is Regulated	Regulatory Authority by Whom Entity is Regulated	Name of Individual Identified to Carry Out Delegated Function	Position of Individual Identified to Carry Out Delegated Function
a)						
b)						
c)						
d)						
e)						

⁶ Please provide as an attachment and properly marked, (eg. exhibit 7a, b, c) a brief biography of each individual.

8) Declaration by Applicant of Fitness and Propriety of Directors, General Partners, Senior Officers and Shareholders with significant interest

I, , of (address), do hereby declare, on behalf of (applicant), that the relevant persons listed in Items 3 and 4 of this application meet the fit and proper criteria in accordance with Schedule 1A of the Regulatory Code, 2009 and, in the case of the and senior officers of the applicant, are eligible to hold the positions for which they are listed.

Signed by:

Name (Print):

Date:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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(dd)

(mm)

(yy)

*Delete as appropriate

9) Declaration by the Local Representative (i.e. registered agent, authorised representative or legal practitioner) ⁷

, , in capacity as

do hereby declare, on behalf of (applicant), that the information provided in this application is, to knowledge and belief, true and accurate and that all documents submitted with this application with respect to the applicant have been verified as authentic. understand that providing false or misleading information in respect of this application may cause the Commission to deny the application and subsequent applications which may be submitted on behalf of the applicant, and may further cause the Commission to take enforcement action.

Signed by:

Name (Print):

On behalf of:

Date:

(dd) (mm) (yy)

10) Authorised Signature

Name

Position

DOCUMENT CHECKLIST

The following documents must be submitted together with this application for the application to be considered complete:

1. Copy of the applicant's constitutional documents:
 - a. Certificate of Incorporation/Limited Partnership;
 - b. Memorandum of Association/Deed of Partnership;
 - c. Charter/Articles of Association
2. Copy of resume or CV for each director/general partner or senior officer of the applicant listed in Item 4.
3. Copy of the investment advisory or investment manager agreement between the applicant and each fund the applicant intends to act for.
4. Copy of resume or CV for each individual listed under Item 6.
5. Copy of any agreements relating to the delegation of investment business functions.
6. Copy of resume or CV for each individual listed under Item 7.
7. Written confirmation from the applicant's legal practitioner that the legal practitioner has agreed to act for the applicant (this may be in the form of a letter dated and signed).
- 7A. The following additional documents should be submitted when acting for persons listed in regulation 9(1)(ca):
 - a. Copy of the person's Certificate of Incorporation/Limited Partnership; and/or
 - b. Copy of the person's Offering Document.
8. **Application fee: \$1000.00**