

INVESTMENT BUSINESS (REGISTERS) REGULATIONS – SECTION 21

(S.I. 85/2014)

Commencement

[3 November 2014]

Citation

1. These Regulations may be cited as the Investment Business (Registers) Regulations.

Contents of registers maintained under the Act

2. For the purposes of—

(a) section 99(1)(a) of the Securities and Investment Business Act (hereinafter referred to as "the Act"), the Register of Investment Business Licensees shall contain the following information—

- (i) the address of the place of business and address for service in the Virgin Islands of the licensee;
- (ii) the address of the place of business that the licensee may have outside the Virgin Islands;
- (iii) the full name and address of the licensee's authorised representative;
- (iv) the type and category of licence granted to the licensee, and the date on which it was granted;
- (v) the current status of the licensee, including the date of cancellation, suspension or revocation of licence, if licence has been cancelled, suspended or revoked; and
- (vi) whether fees payable for the current year have been paid and the date on which they were paid.

(b) section 99(1)(e) of the Act, the Register of Certified Authorised Representatives shall contain the following information—

- (i) the address of the place of business and address for service in the Virgin Islands of the certified authorised representative;
- (ii) the address of the place of business that the certified authorised representative may have outside the Virgin Islands;
- (iii) the date on which certification was granted to act as a certified authorised representative;
- (iv) the current status of the certified authorised representative, including the date on which certification was cancelled, suspended or revoked, if certification has been cancelled, suspended or revoked; and
- (v) whether fees payable for the current year have been paid and the date on which they were paid.

Contents of register maintained under S.I. No. 54 of 2012

3. The Register required to be maintained in respect of an approved investment manager under Regulation 18 of the Investment Business (Approved Managers) Regulations shall contain the following information—

- (a) the address of the place of business and address for service in the Virgin Islands of the approved investment manager;
 - (b) the address of the place of business that the approved investment manager may have outside the Virgin Islands;
 - (c) the full name and address of the approved investment manager's authorised representative;
 - (d) the date on which approval to act as an approved investment manager was granted;
 - (e) the current status of the approved investment manager, including the date on which approval was cancelled, suspended or revoked, if approval has been cancelled, suspended or revoked; and
 - (f) whether fees payable for the current year have been paid and the date on which they were paid.
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