

**CHECKLIST FOR REGISTRATION OF LOCAL COLLECTIVE
INVESTMENT SCHEMES**

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Form 9 – Distribution Statement.	<input type="checkbox"/>	
2.	Registration fees*: <ul style="list-style-type: none"> • Distribution Statement filing fee of TT\$1,000.00 • For closed ended CIS, Market access fees of 0.01% of the value of the funds to be raised, subject to a minimum of \$1,000.00. For open ended CIS, this fee is based on the value of funds raised in previous year (based on Audited Financial Statements). 	<input type="checkbox"/>	
3.	Prospectus prepared in accordance with the Securities (Collective Investment Schemes) Bye-Laws, 2023. Please also include: <ul style="list-style-type: none"> • Copies of all expert reports named in the prospectus. • Signed consent letters from auditors and any other experts named in the Prospectus. 	<input type="checkbox"/>	
4.	Prospectus filing fee* – TT\$17,500.00	<input type="checkbox"/>	
5.	Submission of all legal documents/managerial agreements constituting the securities to be registered.	<input type="checkbox"/>	
6.	A schedule outlining the identities of the parties who will be service providers for the CIS (please note that the party responsible for the distribution of the CIS must be registered with the Commission as a Broker-Dealer).	<input type="checkbox"/>	

Signature

Date

** Please note that all fees are payable at the submission of the application and are **non-refundable**. Additionally, please submit the completed checklist together with the application.*