

**NAME OF FORM: COVER SHEET**

LINE ITEM	INSTRUCTIONS
Name of Reporting Entity	Select the registered name of your organization from the drop down menu.
Type of Reporting Entity	Select from the drop down menu whether your organization is registered as a Broker-Dealer/Investment Adviser/Underwriter/SRO and CIS.
Relevant Date of Report	Select from the drop down menu the quarter in which the report is being submitted.
Name of Senior Officer Reporting	State the name of the Senior Officer approving your organisation’s MMRF submission(s) (First Name, Last Name).
Date Report Made	State the date in which the report was submitted to the Commission (dd/mm/yyyy).
Number of Clients (exclusive of Private Wealth Clients)	State the number of clients of the Reporting Entity. The number of clients includes all entities that are recipients of services provided by the registrant including CISs and pension funds but exclusive of private wealth clients.
Number of Private Wealth Clients	State the number of Private Wealth Clients of the Reporting Entity. Private Wealth Clients will be defined as off -balance sheet assets that are managed on behalf of retail and/or institutional clients, exclusive of Collective Investment Schemes, for which the reporting entity has discretionary and non-discretionary authority
Group Affiliation	Where a Reporting Entity is part of a Group, select from the drop down menu the type of group to which it belongs.
Exchange Rate USD	State the exchange rate used in the completion of the form(s) to four (4) decimal places.
Name of CIS	Where the Reporting Entity is a CIS, state the name of the CIS.
Name of CIS Manager	Where the Reporting Entity is a CIS, state the name of the name of the CIS Manager who is responsible for the investment management/day to day operations of the CIS.
Reporting Currency	Where the Reporting Entity is a CIS, state the reporting currency of the CIS.
Name of Responsible Person	<p>Pursuant to the Securities (Collective Investment Schemes) Bye-Laws, 2023 a:</p> <p>“Responsible Person” means the entity that is responsible for the governance and oversight of the operations of the CIS, including compliance with the legal and regulatory framework:</p> <p>(a) where the CIS is constituted in a trust form the responsible person shall be the trustee;</p> <p>(b) where the CIS is constituted in corporate form the responsible person shall be that corporate entity; or</p> <p>(c) where the CIS is constituted in a form other than a company or trust, the responsible person shall be an entity appointed by the sponsor.</p>