

FORM 25

AUTHORISATION FORM FOR COLLECTIVE INVESTMENT SCHEMES

Pursuant to Bye-law 9, 10 and Bye-law 12(1) of the Securities (Collective Investment Schemes) Bye-laws, 2023

General Instructions:	<p>This form is required to be completed in support of applications for authorisation of Collective Investment Schemes (“CIS”). The Form must be completed by the Sponsor of the CIS.</p> <p>Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced.</p> <p>This form and any attachments should be certified by the Chief Executive Officer and two directors of the Sponsor of the CIS. Where the Chief Executive Officer is unavailable to sign the form, the form should be signed by any other duly authorised senior officer whose proof of authorisation must be submitted with this form.</p>
Item 1	<p>Mark “x” in the relevant checkbox to indicate whether this is an initial application for authorisation of the CIS under Bye-law 9 or an application for renewal of the authorisation of an existing CIS.</p>
Item 2	<p>State the exact name of the CIS as specified in its constituting or organisational documents.</p>
Item 3	<p>State the name of the Sponsor of the CIS and provide contact information for the Sponsor.</p>
Item 4	<p>Mark “x” in the relevant checkboxes to describe the CIS’s form of incorporation or organisation, its jurisdiction of incorporation or organisation, and whether the CIS is open-ended or closed-ended. Where the CIS is “closed-end” state in the space provided:</p> <ul style="list-style-type: none"> • the number of units to be offered by the CIS; • the aggregate amount of funds that the CIS is seeking to raise; and • whether the CIS will be listed for trading on a securities exchange. If so, please specify the securities exchange(s) on which the CIS is intended to be listed. <p>Please also mark “x” in the relevant checkbox to indicate whether the CIS is a stand-alone fund, an umbrella fund or part of an umbrella fund. Where the CIS is not a stand-alone fund, describe in the space provided the structure of the CIS.</p> <p>State in the table provided the details of the securities issued by the CIS including classes of units (where applicable) that are being offered for sale as well as those classes (such as management units) that are not being offered for sale. For each CIS or class of units, please also state (where applicable):</p>

	<ul style="list-style-type: none"> • the financial year end of the CIS. Where this form is being filed: <ul style="list-style-type: none"> ○ pursuant to an initial application for authorisation, state only the day and month of the CIS’s financial year end; and ○ to renew the authorisation of the CIS, state the most recently completed financial year end of the CIS (day, month and year); and • the reporting currency of the CIS; and • the CIS’s investment objective. <p>Insert additional rows if needed.</p>
Item 5	State the date of incorporation or organisation of the CIS. Where the CIS is not yet formally constituted or organised, state the date on which it is expected that the CIS will be formally constituted.
Item 6	<p>This item identifies other applications, supporting documents and fees that should accompany an application for authorisation of a CIS or an application for the renewal of authorisation of a CIS. Mark “x” in the relevant boxes to indicate whether the application, document, or fee identified has been submitted. Where the application, document, or fee is not required, mark “Not Applicable” or “N/A”.</p> <p>Item vi (Key Facts Statement) is required for both initial applications and applications for renewal. Items vii (the CIS’s Annual Report) and viii (Market Access Fees) are generally required only for applications for renewal of authorisation. Where the CIS has been in existence for more than a year prior to its application for authorisation, it will be required to submit an annual report with the application for authorisation. Further closed-end funds are required to submit market access fees with their initial application for authorisation.</p>
Item 7	<p>State the name and provide contact information for the CIS’s service providers.</p> <p>Mark “x” to confirm whether documentary evidence of each service provider’s appointment has been filed with the Commission.</p> <p>Insert additional rows if needed.</p>
Item 8	<p>State the name and provide contact information for the designated officers of the CIS’s Responsible Person and CIS Manager.</p> <p>Mark “x” to confirm whether written documentation confirming the designated officers has been filed with the Commission.</p>
Item 9	<p>Mark “x” in the checkbox if any of the functions to be provided to the CIS have been or will be outsourced to a third party(ies).</p> <p>If any functions have been or will be outsourced, please confirm what functions have been outsourced as well as the name and contact information of the third parties to whom the functions have been outsourced. Please also mark “x” in the relevant box to confirm that copies of the relevant agreements have been filed with the Commission.</p> <p>Insert additional rows if needed.</p>

Item 10	Where the CIS is a foreign CIS, state the name and provide contact information for CIS's Agent for Service of Process in Trinidad and Tobago.
Item 11	Provide the required details for the Board of Directors of the Sponsor. Include names, residential addresses, telephone numbers, email addresses, dates of appointment as members of the Sponsor's Board of Directors and their percentage shareholding, if any in the Sponsor.
Item 12	Provide the information requested for any shareholder of the Sponsor who beneficially owns ten percent or more of the Sponsor's voting securities.
Item 13	Please provide any additional information required to establish the CIS's qualification and suitability for authorisation.
Item 14	Date the application. Include the signature of the Chief Executive Officer and two directors of the Sponsor of the CIS. Where the Chief Executive Officer is unavailable to sign the Form, the form should be signed by any other duly authorised senior officer whose proof of authorisation must be submitted with this form.

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1. TYPE OF SUBMISSION

Initial Authorisation	<input type="checkbox"/>
Renewal of Authorisation	<input type="checkbox"/>

2. NAME OF CIS

INSERT THE NAME(S) OF CIS BEING AUTHORISED

3. CIS SPONSOR INFORMATION

Name of Sponsor			
Primary Business Address of Sponsor			
Work Phone (1-xxx-xxx-xxxx)		Fax Number (1-xxx-xxx-xxxx)	
Website		Email Address	

4. COLLECTIVE INVESTMENT SCHEME PROFILE

Form of Incorporation or Organisation	
Trust	<input type="checkbox"/>
Corporation	<input type="checkbox"/>
Other	<input type="checkbox"/>
If "Other", please specify below:	
Jurisdiction of Incorporation or Organisation	
Local	<input type="checkbox"/>
Foreign	<input type="checkbox"/>
If "Foreign" above, please specify:	
a. Jurisdiction of incorporation or organisation:	
b. Name and contact information for regulator in country of domicile:	

Type of Collective Investment Scheme			
Open-End	<input type="checkbox"/>		
Closed-End	<input type="checkbox"/>		
	No. of Units being Offered		
	Aggregate value of funds being raised		
	CIS to be Listed?		
Umbrella Fund			
Stand-alone fund	<input type="checkbox"/>		
Umbrella fund	<input type="checkbox"/>		
If Umbrella Fund is selected above, please describe the structure of the CIS in the space below:			
Securities Issued by CIS			
Name of Class or Series of Units	Currency	Financial Year End	Investment Objective

5. DATE OF INCORPORATION OR ORGANISATION

Date of Incorporation (dd/mmm/yyyy)	
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6. SUPPORTING APPLICATIONS AND DOCUMENTS

Confirm whether the following documents and/or applications have been prepared and submitted	
Application or Document	Submitted?
i. Application for registration of CIS as a Reporting Issuer in accordance with Section 61(1) of the Securities Act, Chapter 83:02	<input type="checkbox"/>
ii. Application for registration of CIS in accordance with Section 62(1) of the Securities Act, Chapter 83:02	<input type="checkbox"/>
iii. Prospectus Covering the Distribution of the CIS	<input type="checkbox"/>
iv. Constituent Documents	<input type="checkbox"/>
v. Initial Capital Investment	<input type="checkbox"/>
vi. Key Facts Statement	<input type="checkbox"/>
vii. Annual Report of the CIS (where applicable)	<input type="checkbox"/>
viii. Market Access Fees (where applicable)	<input type="checkbox"/>

7. SERVICE PROVIDERS

Service Provider	Name of Entity	Address	Telephone	Proof of Appointment Submitted?
Responsible Person				<input type="checkbox"/>
CIS Manager				<input type="checkbox"/>
Custodian				<input type="checkbox"/>
Auditor				<input type="checkbox"/>
Distributor(s)				<input type="checkbox"/>
Registrar				<input type="checkbox"/>

8. CONFIRMATION OF DESIGNATED PERSONS AT RESPONSIBLE PERSON AND CIS MANAGER

Service Provider	Name of Designated Person	Contact Information for Designated Person	Documentary evidence submitted?
Responsible Person			<input type="checkbox"/>
CIS Manager			<input type="checkbox"/>

9. OUTSOURCED FUNCTIONS

Have any of the functions to be provided to the CIS been or will be outsourced to a third party(ies)?	<input type="checkbox"/>		
If any functions have been outsourced, please confirm what functions have been outsourced as well as the name and contact information of the third parties to whom the functions have been outsourced?			
Name of Third Party	Contact Information	Function(s) Outsourced	Service Level Agreement Filed
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

12. SIGNIFICANT SHAREHOLDERS OF SPONSOR

Name of Security Holder	Address of Security Holder	Class, Number and Percentage of Securities held in the Sponsor	Nationality or Jurisdiction of Incorporation	Nominee Name or Trustee Arrangement

13. OTHER INFORMATION

Please provide any additional information required to establish the Applicant's/Reporting Issuer's qualification and suitability for registration

14. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statements and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, Chapter 83:02. I understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, Chapter 83:02.

_____ Signature	_____ Signature	_____ Signature
Date:	Date:	Date: