

**Survey Questionnaire - Foreign Funds
 Collective Investment Schemes Survey
 (Schemes From Foreign Jurisdictions)**

1 (a) Name of Scheme

1 (b) Date first issued in Trinidad and Tobago

1 (c) Jurisdiction of Origin

1 (d) Corporate Name of Service Agent

1 (e) Address of Service Agent

.....

.....

.....

.....

.....

Reg. No.
 (for official use only)

1 (f) Denominational currency the fund's price is quoted in. and
 (Please Choose From Attached List of Currency Codes) (XXX) (XXX)

.....

.....

2 (a) From the activities 1 -20 below please indicate those which are performed by the Service Agent of the fund.

Duties performed by Service Agent in Trinidad and Tobago

1. Oversees the fund and has fiduciary responsibility to the unit or shareholders.
2. Provides Custodianship of Assets
3. Hires local sales agents
4. Evaluates local sales agents performance
5. Establishes local sales agents compensation
6. Handles local investor complaints
7. Maintains the register of all local investors
8. Markets and/ or Distributes the Fund
9. Collects funds from sales of units
10. Make Distributions on behalf of the fund
11. Ensures Compliance with local Regulations

Describe other Duties of the Local Service Agent of the Fund

.....

.....

.....

.....

.....

2 (b) Using the Matrix below, please indicate those reports regularly provided to the foreign principal of the fund

Matter Address	Frequency reports are prepared (Tick the <u>one</u> which is appropriate)
Sales Agents Performance	Daily <input type="checkbox"/>
	Monthly <input type="checkbox"/>
	Quarterly <input type="checkbox"/>
	Annually <input type="checkbox"/>
	Other
Sales Reports	Daily <input type="checkbox"/>
	Monthly <input type="checkbox"/>
	Quarterly <input type="checkbox"/>
	Annually <input type="checkbox"/>
	Other

2 (b)
 cont'd

Compliance Report	Daily	<input type="text"/>
	Monthly	<input type="text"/>
	Quarterly	<input type="text"/>
	Annually	<input type="text"/>
	Other	<input type="text"/>

(Please provide a copy of the respective report (s) provided to the principal of the Fund)

2 (c) Please indicate what accounting convention is used to prepare the financial statements of the fund.

International Financial Reporting Standards (IFRS)

US Generally Accepted Accounting Principles (GAAP)

Canadian GAAP

UK GAAP

Other, describe _____

2 (d) Please indicate what performance presentation standard is used to present fund performance.

Global Investment Performance Standards (GIPS)

Association of Investment Management Research-Performance Presentation Standards (AIMR-PPS)

GIPS and AIMR-PPS

Other, describe _____

2 (e) How frequently are audited financial statements prepared? (Tick all of those which are appropriate)

Quarterly Annually

Semi Annually Other, describe _____

2 (f) How frequently are performance/ account statements provided to customers? (Tick all of those which are appropriate)

Monthly Quarterly Annually

Bimonthly Semi Annually Other, describe _____

(Please provide copies of the last two performance/ account statements)

END OF QUESTIONNAIRE

For Official Use: Not Part Of Questionnaire	
Name of Interviewer:	<input style="width: 100%;" type="text"/>
Name Of Reviewer:	<input style="width: 100%;" type="text"/>
Date Of Interview	<input style="width: 100%;" type="text"/>
Name of Interviewee:	<input style="width: 100%;" type="text"/>
Signature of Interviewee	<input style="width: 100%;" type="text"/>
Company	<input style="width: 100%;" type="text"/>
Functionary In Management of Fund	<input style="width: 100%;" type="text"/>
Telephone Contact	<input style="width: 100%;" type="text"/>
Email Contact	<input style="width: 100%;" type="text"/>