

***ISLE OF MAN GOVERNMENT
FINANCIAL SUPERVISION COMMISSION***

***RECOGNITION OF COLLECTIVE INVESTMENT SCHEMES
PARAGRAPH 1 OF SCHEDULE 4 TO
THE COLLECTIVE INVESTMENT SCHEMES ACT 2008***

***NOTIFICATION BY A COLLECTIVE INVESTMENT
SCHEME AUTHORISED IN A DESIGNATED COUNTRY OR
TERRITORY OUTSIDE THE ISLE OF MAN THAT IT WISHES TO BE A
RECOGNISED SCHEME IN THE ISLE OF MAN***

Completed Forms together with any supporting material should be returned to:-

*Financial Supervision Commission
PO Box 58
Finch Hill House
Bucks Road
DOUGLAS
Isle of Man IM99 1DT*

NOTIFICATION FOR RECOGNITION

Please read the questions and guidance notes carefully before completing this form. If more space is needed the answers should be written on a separate sheet of paper with the heading, "continuation of answer to question.....section.....". Answers should be written in ink in BLOCK CAPITALS or typed.

The staff of the Commission are available to be consulted on a formal or an informal basis in the course of the preparation of a notification for recognition and will try to give the appropriate guidance where it is sought. However, in order that the role of the staff of the Commission is not misunderstood, the Commission wishes to emphasise that:

1. the preparation and submission of a notification for recognition is the responsibility of the applicant;
2. the decision whether or not a scheme shall be recognised is the responsibility of the Commission; and
3. the Commission normally takes legal advice on questions of law that confront it and applicants for recognition must similarly be prepared to seek legal advice on questions of law that confront them.

SECTION A

A1	NAME OF SCHEME
A2	LEGAL FORM OF SCHEME
A3	DETAILS OF THE RELEVANT DESIGNATION ORDER
A4	CLASS OF SCHEME
A5	PROVIDE THE NAME AND ADDRESS OF ONE OR MORE PERSONS IN THE ISLAND AUTHORISED TO ACCEPT ON BEHALF OF THE GOVERNING BODY ANY PROCESS OR ANY NOTICES OR OTHER DOCUMENTS REQUIRED OR AUTHORISED TO BE SERVED ON HIM (PARAGRAPH 1(5)(a) OF SCHEDULE 4 TO THE COLLECTIVE INVESTMENT SCHEMES ACT 2008)

A6 PROVIDE THE ADDRESS OF THE PLACE IN THE ISLE OF MAN WHERE SCHEME FACILITIES FOR THE PUBLIC WILL BE MAINTAINED (see Guidance Notes)

A7 PROVIDE THE ADDRESS OF THE PLACE IN THE ISLE OF MAN OR UNITED KINGDOM WHERE SCHEME FACILITIES FOR PARTICIPANTS WILL BE MAINTAINED (see Guidance Notes)

A8 PROVIDE THE ADDRESS OF THE PLACE IN THE ISLE OF MAN OR UNITED KINGDOM WHERE SCHEME FACILITIES FOR HOLDERS OF BEARER CERTIFICATES WILL BE MAINTAINED (see Guidance Notes)

A9 PROVIDE THE ADDRESS OF THE PLACE IN THE ISLE OF MAN WHERE SCHEME FACILITIES FOR COMPLAINTS WILL BE MAINTAINED (see Guidance Notes)

A10 NAME AND ADDRESS OF TRUSTEE (OR FIDUCIARY CUSTODIAN)

A11 NAME AND ADDRESS OF GOVERNING BODY (AND MANAGER, IF APPLICABLE)

A12 NAME AND ADDRESS OF THE MOST SENIOR INDIVIDUAL RESPONSIBLE FOR COMPLIANCE IN RESPECT OF THE GOVERNING BODY'S OPERATIONS IN THE ISLE OF MAN

A13 NAME AND ADDRESS OF ANY SUPERVISORY AUTHORITY OR AUTHORITIES TO WHICH THE GOVERNING BODY (AND MANAGER, IF APPLICABLE) IS SUBJECT IN THE COUNTRY OF TERRITORY IN WHICH IT IS ESTABLISHED

SECTION B

BI	DETAILS OF THE ARRANGEMENTS FOR THE MARKETING OF UNITS OR SHARES IN THE ISLE OF MAN:
(i)	Proposed Commencement Date
(ii)	Give full details of any person or persons through whom the units or shares will be sold
(iii)	Give full details of how and where the scheme will be promoted

B2	DETAILS OF ANY RESTRICTIONS ON THE AVAILABILITY OF UNITS OR SHARES

B3	DETAILS OF:
(i)	The initial price of units or shares
(ii)	Any minimum holding size in the scheme
(iii)	Any minimum transaction size

B4	DETAILS OF ANY REMUNERATION WHICH MAY BE PAID TO AUTHORISED PERSONS IN RELATION TO SALES OF UNITS OR SHARES

B5	DETAILS OF ANY ARRANGEMENTS WITH AUTHORISED PERSONS FOR RECIPROCALITY OF INVESTMENT BUSINESS

B6 ANY OTHER RELEVANT MATTERS CONCERNING THE MARKETING OR PRICING OF THE UNITS OR SHARES

B7 DETAILS OF THE ARRANGEMENTS, IF ANY, WHICH HAVE BEEN MADE FOR PARTICIPATION IN A COMPENSATION SCHEME FOR INVESTORS

SECTION C

HAVE THE FOLLOWING DOCUMENTS BEEN ENCLOSED WITH THIS NOTIFICATION FORM?

(i) A COPY OF ANY RELEVANT AUTHORISATION ORDER OR CERTIFICATE ISSUED BY THE AUTHORITY IN THE COUNTRY OR TERRITORY IN WHICH THE SCHEME IS AUTHORISED

YES/NO*

(ii) A STATEMENT FROM THE AUTHORITY IN THE COUNTRY OR TERRITORY IN WHICH THE SCHEME IS AUTHORISED THAT THE SCHEME IS OF A CLASS SPECIFIED BY THE DESIGNATION ORDER MENTIONED IN A3

YES/NO*

(iii) A COPY OF THE SCHEME'S RULES OR INSTRUMENTS OF INCORPORATION OR OTHER DOCUMENTS CONSTITUTING THE SCHEME

YES/NO*

(iv) A COPY OF THE PROSPECTUS OR ANY SIMILAR DOCUMENT GIVING DETAILS OF THE SCHEME

YES/NO*

(v) A COPY OF THE LATEST ANNUAL REPORT AND ANY SUBSEQUENT HALF-YEARLY REPORT

YES/NO*

(vi) A COPY OF ANY OTHER DOCUMENT AFFECTING THE RIGHTS OF PARTICIPANTS IN THE SCHEME

YES/NO*

* Delete as appropriate

DECLARATION

The applicant should notify the Commission of any other information which is material to this notification and must notify the Commission immediately of any material changes in the information provided in this notification which occur after the date of submission.

The Guidance Notes accompanying this notification form must have been read by the person(s) completing this form and signing the declaration below.

This declaration must be signed for and on behalf of the scheme's Governing Body.

I declare that the information supplied in Sections A, B and C is complete and correct to the best of my knowledge at the time of notification.

For and on behalf of the scheme's Governing Body _____

Signed _____

Name in BLOCK CAPITALS _____

Position _____

Dated this day of 20

Person dealing with this application, in BLOCK CAPITALS

COMPANY OF GOVERNING BODY

Name _____

Address _____

Telephone No. _____

Position in Company _____

It should be noted that (by virtue of Section 18 of the Collective Investment Schemes Act 2008 [the Act]) a person commits an offence if for the purposes of or in connection with any application under the Act he furnishes information which he knows to be false or misleading in a material particular or recklessly furnishes information which is false or misleading in a material particular. A person guilty of such an offence is liable:-

- (a) on summary conviction to a fine not exceeding £5,000 or to custody for a term not exceeding 6 months, or to both;
- (b) on conviction on information, to a fine or to custody for a term not exceeding 2 years, or to both.

Completed forms together with any supporting material should be returned to:

Isle of Man Government
Financial Supervision Commission
PO Box 58
Finch Hill House
Buck Road
DOUGLAS
Isle of Man
IM99 1DT

FEES: The periodical fee is not required to be submitted with this notification.

Enquiries about an application may be made to the above address or by telephone to 01624 689300.