

ANNEX

Information/Documents to be submitted with respect to Application for “CIS Manager”.

1	Duly dated and signed Application Form.
2	Prescribed Processing and/or Annual Fee(s).
3	Details of any other licence(s)/registration(s) which the Applicant holds and name of the licence(s) and issuing authority, and any restriction(s) imposed.
4	Applicant to describe and demonstrate, with supporting documents or information, how it will satisfy its obligations under Part VIII of the Securities Act 2005, other relevant regulations/rules mentioned thereunder and the Securities (Collective Investment Schemes and Closed-end Funds) Regulations 2008.
5	Undertakings Required where it is proposed to Invest in India: (i) An undertaking by the Applicant/Applicant’s Representative to the effect that the Applicant will not accept funds derived from sources within India from Indian Residents for investment purposes in the Applicant unless appropriate written approval from the relevant Indian Authorities have been obtained for such investment, and (ii) Undertaking by the person/entity responsible for conducting the AML-CFT on investors in the Company that he/she/it will ensure that no shares in the Applicant will be offered to/subscribed by Indian Residents which will be financed by funds derived from sources within India, unless appropriate written approval from the relevant Indian Authorities have been obtained for such investment.
6	The applicant should submit evidence of the source of Capital/Fund to the contributed to the Company (whether proprietary, non-proprietary or others).
7	The directors, shareholders and officers of the Applicant may be required to submit a morality certificate.