



**FORM 16**  
*[regulations 81 and 90]*

**NEW APPLICATION FOR REGISTRATION OF PUBLIC MUTUAL FUND AND  
RECOGNITION OF PROFESSIONAL FUND**

**1 – Name of Fund** *(State full legal name of the Fund. State full legal name of the Fund.)*

**2 – Type of application State whether the application is for:**

- (a) registration of a public mutual fund;
- (b) recognition of a professional fund; or
- (c) appointment of functionary to a regulated mutual fund.

*For a type (c) application, only Items 1, 2, 3, 6, 8, 9 and 10 need to be provided.*

**3 – Full Business Contact Details of Fund** *(State the Fund's principal business address and provide email address(es), telephone numbers and website addresses.)*

**4 – Constitution of the Fund**

State whether the fund is constituted as a company, partnership or trust and give details of the country and date of incorporation and applicable law.

Provide names for all directors or trustees as applicable, and a completed Form 5 for each director and for any trustee that is not a body corporate.

## 5 – Characteristics of the Fund

Provide the following information about the fund:

- a. Whether the fund has been registered, recognized or authorised by any regulatory body. If so, provide details.
- b. Whether the fund is quoted on any stock exchange. If so, provide details.
- c. Launch date and place
- d. Dealing frequency – daily/weekly/other (specify)
- e. Pricing – forward/historic/other (specify)
- f. Currency
  
- g. Fund type and assets (equity/bond/hedge/fund of funds/master-feeder/umbrella/other (specify)
- h. Fee structure:
  - i. Charges payable by investor (type and level)
  - ii. Charges payable by the fund (type and level)
- i. Investment objective

## 5 – Prospectus or other offering document

Application for registration as a public mutual fund:

- a. provide a copy of the mutual fund prospectus prepared in accordance with Form 17;
- b. provide details of any receipt or similar offered for the prospectus by a regulatory authority or self-regulatory organisation in another jurisdiction.

Application for recognition as a professional fund:

- a. provide a copy of the fund's offering document;
- b. provide details of any receipt or similar offered for the prospectus by a regulatory authority or self-regulatory organisation in another jurisdiction.


## 6 – Functionaries

For each functionary, state the function to be carried out by that functionary and provide the principal business address, email address(es), telephone numbers and website addresses fax numbers.

Provide details of each functionary's registration in Belize and any applicable registration the functionary holds with other regulatory authorities or self-regulatory organisations outside Belize.

State whether any functionary is a connected person of any other functionary and, if so, provide details.

State whether any directors or officers of any functionary are also directors or officers of another functionary and, if so, provide names of those individuals.



Describe any arrangements in place to achieve functional independence of each functionary.  
*For a type (c) application, state clearly which functionary or functionaries the application relates to.*

## **7 – Auditor**

State the auditor’s principal business address and provide email address(es), telephone numbers and website addresses fax numbers.

Provide practising certificate from Belize Institute of Chartered Accountants.

Provide details of licence/registration with any accounting body outside Belize.

## **8 – Contact Person at Applicant**

Give the name, position, business telephone number and email address of a senior official who is knowledgeable about the application and who may be contacted to discuss it.

### **Date the Application**

### **Certification and Signature**

A Director or trustee of the fund as the case may be and a senior officer of the fund administrator shall certify the following statement by signature or other specified means:

“We, the undersigned, hereby affirm that to the best of our information, knowledge and belief that

- a. the Fund is currently in compliance with all the applicable provisions of the Act and these Regulations; and
- b. the contents of this form and any attachments provided with this form are true, correct and not misleading.”

***WARNING: Intentional misstatement or failure to disclose information may constitute an offence.***



**Required attachments:**

13. The fund's constitutional documents;
14. Certification of incorporation, formation or registration or equivalent document, if any;
15. Prospectus issued or proposed to be issued by or on behalf of the fund;
16. Functionary agreements;
17. Valuation policy;
18. Completed Form 5 for each director.
19. An application fee shall be submitted with this application. The appropriate fee can be found in Schedule II.

