

Introduction		
The AML/CFT Inherent Risks - Securities form (AIR-157-75) is to be completed by every Securities Investment Business – Excluded Persons (who is commonly referred to as "entity" for purposes of this form) in REEFS, via its registered office, on or before 15 August 2019 .		
A - Client/Customer Risk		
NB. For purposes of this form, "client" and "customer" are used interchangeably, and relate to anyone with or for whom securities investment business is transacted.		
A - Client/Customer Risk		
A01	How many clients/customers does the entity have in total?	This section represents an aggregate for all clients/customers that the entity provides any securities investment business services to.
A01a	Number of Clients/Customers	This number should total all active clients/customers the entity provides securities investment business services to as opposed to accounts (I.E. If the same client (individual or legal entity) has two accounts in the same name, then only 1 should be counted. Do not double count.)
A01b	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category. The dropdown + sign to the left hand side of the page, allow the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.
A01o	What is the total value of assets under management within the past 12 months?	Insert the US dollar value amount for all assets under management held by the entity as at 30 June 2019. If the entity does not manage assets for its clients/customers, 0 should be inserted.
A02-A12	All of the clients/customers categorized in A02-A12 are to total	all active clients disclosed in A01a above.
A02	Government/Public Sector	This category includes central government units that exists at each level – Federal, State or Local government within the national economy and Central Banks / Monetary Authorities; as well as Public Financial Corporations and Public Non-Financial Corporations controlled by the Government (excluding Central Banks and Monetary Authorities).
A02a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A02b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A02c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A02d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A03	Non-Profit Organizations	This category includes charities and organizations that do not distribute income to its shareholders or members using income generated from its objectives.
A03a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A03b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A03c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A03d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A04	Financial Institutions	This category includes banks, insurance companies, investment companies or some type of company engaged in the business of dealing with financial and monetary transactions such as deposits, loans, investments or currency exchanges. NB. Do not include trust companies in this section, although it can be considered a financial institution.

A04a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A04b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A04c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A04d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A05	Non-Financial Institutions	This category includes private commercial non-financial corporations, such as construction companies, hotels, restaurants, retailers and wholesalers. Designated non-financial business and profession can also be accounted for in this category.
A05a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A05b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A05c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A05d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A06	Individuals	This category solely related to a human being, as distinguished from a company or other entity created by operation of law with separate legal personality. If the account is held in the name(s) of more than one individual (i.e. joint account), it should be captured in this category.
A06a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A06b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A06c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A06d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A07	Corporates	This category relates to companies (exempt, limited, ordinary/resident, international business), partnerships (general, limited, exempt), foreign that are incorporated under the laws of the Islands or under the laws of any other country or place. NB. Do not include corporates in this section, if they have already been categorized in one of other categories in this section of the form (i.e. trusts and financial institutions).
A07a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A07b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A07c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A07d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A08	Trusts	This category includes any type of legal structure that carries on trust business.
A08a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)

A08b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A08c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A08d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A09	Nominees	This category includes any person or legal structure who is obtaining services on behalf of another person. (I.E. Trustee, executor, administrator, legal structures acting on behalf of someone else).
A09a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A09b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A09c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A09d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A10	Special Purpose Vehicles	This category includes legal structures that are incorporated as a special purpose vehicle for asset acquisition, leasing and securitization.
A10a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A10b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A10c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A10d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A11	Special Economic Zone	This category includes any type of entity authorized to be carried on in a special economic zone pursuant to any law in force in the Islands.
A11a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A11b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A11c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A11d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A12	Other	This category is to be completed if a client/customer does not fall within any one of the categories referenced above.
A12a	Specify	Enter the name of the category for any clients/customers that do not fall within any one of the categories referenced above.
A12b	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A12c	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.

A12d	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A12e	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A13	How many of the clients/customers are High Net Worth (HNW) Individuals - with a net worth of at least CI\$800,000.	See definition of HNW Individual in the Securities Investment Business Law (2019 Revision).
A13a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A13b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A13c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included. NB. Do not include HNW Individuals that are also sophisticated in this total as such information should be captured in A16.
A13d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A14	HNW Persons - with total assets of not less than CI\$4,000,000	See definition of HNW Person in the Securities Investment Business Law (2019 Revision)(the "SIBL").
A14a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A14b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A14c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included. NB. Do not include HNW Persons that are also sophisticated in this total as such information should be captured in A16.
A14d	Geography	All jurisdictions where each client in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A15	Sophisticated Person	See definition of sophisticated person in the SIBL.
A15a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A15b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A15c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients where business relationships have ceased, should not be included. NB. This total relates to sophisticated clients only. Do not include HNW Persons that are also sophisticated in this total.
A15d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A16	HNW and Sophisticated Persons	
A16a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A16b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A16c	Number of Clients/Customers	This number should total all active clients/customers in this category. Clients where business relationships have ceased, should not be included. NB. Do not include HNW Individuals and Persons that were included in section A13, A14 or A15 as this total relates only to individuals and persons that are both HNW and sophisticated.
A16d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).

A17	Politically Exposed Persons	See part II - section 7 of the Guidance Notes on the Prevention and Detection of Money Laundering and Terrorist Financing in the Cayman Islands, December 2017 ("AML Guidance Notes") to see who constitutes as a Politically Exposed Person. Include all individuals/persons that have been previously categorized in sections A01, A02c-A16c above.
A17a	Number of Transactions Completed	This is to be an aggregate of all transactions conducted for clients/customers in this category from 30 June 2018 to 30 June 2019. (I.E. If 1 order to trade a security at a specific price is filled over several lots, it is to be counted as a single transaction.)
A17b	Value of Assets Held Under Management for This Category Client/Customer	This is the account value range for all clients/customers in this category as at 30 June 2019.
A17c	Number of Clients/Customers	This number should total all active clients in this category. Clients/customers where business relationships have ceased, should not be included. NB. This total is to include all clients that the entity provides securities investment business services to.
A17d	Geography	All jurisdictions where each client/customer in this category is domiciled should be selected in this category (I.E. The dropdown allows for multiple jurisdictions to be selected).
A18	What percentage of the entity's client/customer base is considered HNW?	Select most suitable percentage category which denotes only HNW individuals and persons of the entity's total client/customer population.
A19	What percentage of the entity's client/customer base is considered sophisticated?	Select most suitable percentage category which denotes only sophisticated persons of the entity's total client/customer population.
A20	What percentage of the entity's clients/customers are considered HNW and sophisticated? (Do not double count)	Select most suitable percentage category which denotes only HNW individuals, HNW persons and sophisticated persons of the entity's total client/customer population, excluding clients/customers considered in A18 and A19.
A21	Other (specify)	Insert details in this category if a client/customer does not fall within any one of the categories referenced above.
A22	In which countries are the entity's parent company, affiliates and subsidiaries located?	Browse and select all applicable countries.
A23	In which countries by percentage of equity ownership are all shareholders of the entity located?	-
A23a	Country	Browse and select all applicable countries.
A23b	Percentage	Enter exact percentage, rounded to the nearest tenth, if applicable.
A24	In which countries by percentage of equity ownership are all controllers of the entity located?	-
A24a	Country	Browse and select all applicable countries.
A24b	Percentage	Enter exact percentage, rounded to the nearest tenth, if applicable.
A25	Where are the entity's principal places of business?	Browse and select all applicable countries where business is conducted from (i.e. where business is outsourced to or performed).
B - Distribution Channels Risks		
B01	Direct	A client/customer with whom the entity has a direct contractual agreement.
B01a	Clients/customers per each distribution channel	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
B01b	Face to Face / Non-Face to Face	More than option may be applicable so select both within this category, if applicable. Face to face refers to the respective client(s)/customer(s) having met with a representative of the entity in person versus non-face to face which indicates that none of the representatives of the entity have met the respective client(s)/customer(s).
B01c	Country	Browse and select all applicable countries for all clients/customers received via this channel.
B02	Eligible Introducers	This category relates to clients/customers that are introduced from/by an entity outside of the entity's group. See definition of Eligible Introducer in the AML Guidance Notes.
B02a	Clients/customers per each distribution channel	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
B02b	Face to Face / Non-Face to Face	More than option may be applicable so select both within this category, if applicable. Face to face refers to the respective client(s)/customer(s) having met with a representative of the entity in person versus non-face to face which indicates that none of the representatives of the entity have met the respective client(s)/customer(s).

B02c	Country	Browse and select all applicable countries for all clients/customers received via this channel.
B03	Referrals within Group	This category relates to clients/customers that are referred from/by an individual or entity within the entity's group.
B03a	Clients/customers per each distribution channel	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
B03b	Face to Face / Non-Face to Face	More than option may be applicable so select both within this category, if applicable. Face to face refers to the respective client(s)/customer(s) having met with a representative of the entity in person versus non-face to face which indicates that none of the representatives of the entity have met the respective client(s)/customer(s).
B03c	Country	Browse and select all applicable countries for all clients received via this channel.
B04	Non Eligible Introducers	This category relates to clients that are introduced from/by an entity outside of the entity's group which do not qualify as Eligible Introducers per the AML Guidance Notes.
B04a	Clients/customers per each distribution channel	This number should total all active clients in this category. Clients/customers where business relationships have ceased, should not be included.
B04b	Face to Face / Non-Face to Face	More than option may be applicable so select both within this category, if applicable. Face to face refers to the respective client(s)/customer(s) having met with a representative of the entity in person versus non-face to face which indicates that none of the representatives of the entity have met the respective client(s)/customer(s).
B04c	Country	Browse and select all applicable countries for all clients/customers received via this channel.
B04d	Regulated/Unregulated	Select as appropriate. If more than one eligible introducer is accepted by the entity, but one or more is not regulated, then no should be selected.
B05	Other	
B05a	Details	Insert details if a client/customer does not fall within any one of the categories referenced in B01-B04.
B05b	Clients/customers per each distribution channel	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
B05c	Face to Face / Non-Face to Face	More than option may be applicable so select both within this category, if applicable. Face to face refers to the respective client(s)/customer(s) having met with a representative of the entity in person versus non-face to face which indicates that none of the representatives of the entity have met the respective client(s).
B05d	Country	Browse and select all applicable countries for all clients/customers received via this channel.
B05e	Regulated/Unregulated	Select as appropriate. If one or more is not regulated in this category, then no should be selected.
B06	Does the Licensee accept its clients/customers via online platforms?	Select as appropriate. If clients/customers have the ability to submit applications and securities investment business requests via the internet, then yes should be selected.
B07	What is the domicile (location) and percentage of online platforms?	
B07a	Country of clients/customers	Browse and select all applicable countries.
B07b	Percentage of clients/customers	Enter exact percentage, rounded to the nearest tenth, if applicable.
C - Products and Services Risks		
C01	Has the entity ever received client/customer funds?	Select as appropriate.
C02	Does the entity's line of business allow the acceptance of client/customer funds?	Select as appropriate.
C03	What functions does the entity outsource to a 3rd Party and where is the 3rd Party located?	-
C03a	Number of 3rd Parties	Insert aggregate of all 3rd parties utilized by the entity for the relevant function.
C03b	Type of 3rd Parties	Select all applicable function types that are outsourced. More than one option can be selected, if applicable.
C03c	Countries of 3rd Parties	Browse and select all applicable countries.

C03d	Is the 3rd Party regulated?	Select as appropriate. If one or more is not regulated in this category, then no should be selected.
C03e	Is the 3rd Party exempt from regulation?	Select as appropriate. If one or more is not regulated in this category, then no should be selected.
C04	Shares	Any of the following securities – (a) shares and stock of any kind in the share capital of a company; (b) interests in a limited partnership established under the Partnership Law (2013 Revision); (c) interests in an exempted limited partnership as defined in the Exempted Limited Partnership Law (2018 Revision); (d) interests in a limited partnership, or an exempted limited partnership, constituted under the laws of a jurisdiction other than the Islands; and (e) units of participation in a unit trust as defined in the Mutual Funds Law (2019 Revision).
C05	Instruments creating or acknowledging indebtedness	Debentures, debenture stock, loan stock, bonds, certificates of deposit and any other instruments creating or acknowledging indebtedness other than – (a) any instrument acknowledging or creating indebtedness for, or for money borrowed to defray, the consideration payable under a contract for the supply of goods or services; (b) a check or other bill of exchange, a bankers draft or a letter of credit; (c) a bank note, a statement showing a balance in a current, deposit or savings account, a lease or other disposition of property; (d) a contract of insurance; (e) any instrument creating or acknowledging indebtedness in respect of money raised by the Government of the Islands or any public authority created thereby; and (f) an instrument creating or acknowledging indebtedness and creating security for that indebtedness over land
C06	Instruments giving entitlements to securities	Warrants and other instruments entitling the holder to subscribe for securities falling within paragraph 1 or 2 of the SIBL.
C07	Certificates representing certain securities	Certificates or other instruments which confer contractual or proprietary rights – (a) in respect of any security falling in paragraph 1, 2 or 3 being a security held by a person other than the person on whom the rights are conferred by the certificate or instrument; and (b) the transfer of which may be effected without the consent of that person..
C08	Options	Options to acquire or dispose of – (a) a security falling in any other paragraph of this Schedule; (b) any currency; (c) any precious metal; or (d) an option to acquire or dispose of a security falling within this paragraph by virtue of subparagraph (a), (b) or (c) above.
C09	Futures	See schedule 1 of the SIBL for definition of futures.
C10	Contracts for differences	See schedule 1 of the SIBL for definition of contracts for differences.
C11	Does the entity partake in adhoc/unregulated business?	This includes any activity not specified in Schedule 2 of the SIBL.
C11o	If so, specify.	Insert further details explaining what the unregulated business consists of.
C12	Does the entity act as a custodian?	Select as appropriate. Custodian refers to an entity that ensures safekeeping of its clients/customers assets.
C13	Does the entity act as a depository?	Select as appropriate. A depository appointed in accordance with paragraph 11 of the Schedule to the Securities Investment Business (EU Connected Fund (Alternative Investment Fund Managers Directive)) Regulations, 2016 and carrying out the duties set out in paragraph 13 of that Schedule.
C14	Is the entity a Broker Dealer?	See schedule 2(1) of the SIBL.
C15	Is the entity a Market Maker?	Means a person who engages in activities specified in paragraph 1 (b) of Schedule 2 in compliance with the rules of any market in securities operating under the oversight of or rules made by a recognised securities exchange or a recognised overseas regulatory authority.
C16	Is the entity a Securities Advisor?	See schedule 2(4) of the SIBL.
C17	Is the entity a Securities Arranger?	See schedule 2(2) of the SIBL.
C18	Is the entity a Securities Manager?	See schedule 2(3) of the SIBL.
C18a	If yes, does the entity have physical presence?	This question is solely for securities managers who are to indicate yes or no.

	How is physical presence met?	If 'yes' is selected to C18a, select from the following.
C18ai	Via Registered Office?	Select as appropriate.
C18aii	Via place of business and infrastructure in the Islands?	Select as appropriate. Place of business and infrastructure relates to the entity having an established office and staff members within the Islands.
C19	Is the entity a single family office?	Select as appropriate. A single family office is a legal entity or legal arrangement formed in the Islands by two or more individuals who are connected in at least one of the ways set out in the paragraphs schedule 4A of the SIBL.
C20	What is the entity's ownership structure?	Select as appropriate. Stand alone means direct ownership by ultimate beneficial owners; whereas multilayered constitutes as all other structures.
C21	Does the entity conduct securities investment business with a licensed, registered or administered Cayman Islands based fund?	Select yes only if the entity has on-boarded a fund that is solely incorporated and regulated in the Cayman Islands.
C22	Does the entity conduct securities investment business with any unregulated Cayman Islands based fund?	Select yes only if the entity has on-boarded a fund that is solely incorporated and unregulated in the Cayman Islands.
C23	Does the entity conduct securities investment business with a licensed, registered or administered fund in any other region?	Select yes only if the entity has on-boarded a fund incorporated or registered in another jurisdiction other than the Cayman Islands.
C23a	If so, what jurisdictions?	If 'yes' is selected as the answer to question 23, browse and select all applicable countries where the funds are incorporated and registered.
C24	If you trade in listed securities, in which countries are the markets/exchanges located?	Browse and select all applicable countries.
C25	If you trade in unlisted securities, in which countries are the securities issuers domiciled?	Browse and select all applicable countries.
C26	Physical Cash	This relates to banknotes and coins only. Rank which payment method from C26-C32 is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C26a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C26b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C27	Travellers cheques	This relates to a check for a fixed amount that can be cashed or used in payment after endorsement with the holder's signature. Rank which payment method from C26-C32 is most relied upon from 1 - 7; 1 being the most frequently accepted by the entity.
C27a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C27b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C28	Bearer shares	This related to a share in the capital of any company incorporated in the Islands which is represented by a certificate that does not record the owner's name; and is transferable by delivery of the certificate. Rank which payment method from C26-C32 is most relied upon from 1 - 7; 1 being the most frequently accepted by the entity.
C28a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C28b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C29	Prepaid cards	This relates to cards with a monetary value stored on the card itself and an external account is not maintained by a financial institution. Rank which payment method from C26-C32 is most relied upon from 1 - 7; 1 being the most frequently accepted by the entity.
C29a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.

C29b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C30	Virtual currencies (crypto or other)	This relates to any unregulated digital monies. Rank which payment method from C26-C32 is most relied from 1 - 7; 1 being the most frequently accepted by the entity.
C30a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C30b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C31	Third parties	This relates to a person/entity that is not contracted as a client/customer of the entity but transmits payments on the client's/customer's behalf. Rank which payment method from C26-C32 is most relied from 1 - 7; 1 being the most frequently accepted by the entity.
C31a	Ranking based on value of transactions	Rank which payment method from C26a-C32a is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C31b	Ranking based on volume of transactions	Rank which payment method from C26b-C32b is most relied upon by selecting 1 - 7; 1 being the most frequently accepted by the entity.
C32	Other methods	Enter specific details of other method of payments accepted by the entity from its clients/customers, if it differs from the options referenced in C26-C31.
C33	Select the countries where client/customer funds are received from?	Browse and select all applicable countries.
C34	Select the countries where client/customer funds are submitted to?	Browse and select all applicable countries.
D - Attestation		
D01	I attest that the all of the information disclosed within this document accurately reflect the information known by all the directors of the entity.	The agent (i.e. registered office) or entity submitting this form attests that all information submitted to the Authority, accurately reflects what has been communicated from authorized persons (i.e. directors) of the entity.