REEFS Form Completion Guide

Application for Private Fund

(Ref: APP-101-77)

Document version: 1.0

Revision History:

Effective Date	Version Number	Revision Description
17 Apr 2020	1.0	Initial release of documentation

Contents

1 INTRODUCTION

Regulatory **E**nhanced **E**lectronic **F**orms **S**ubmission (REEFS), is an online portal for electronic submission of required financial services information to the Cayman Islands Monetary Authority ("the Authority") as well as providing payments information where applicable.

2 FORM INFORMATION

- Form APP-101-77 is to be used when applying as a Fund under section 5(1)(b) of the Private Funds Law, 2020.
- The '+' to the left-hand side of the page, allow for multiple entries, when more than one is applicable for each category, throughout this form

3 ACCESSING AND SUBMITTING THE FORM

3.1 UNDERSTANDING REEFS ROLES AND WORKFLOWS

In REEFS, roles are required to be assigned to allow users to perform certain tasks (assigned in the Workflow). These roles give the users permission to prepare, edit, approve, review and submit etc. based on Workflows.

Please use the online instructions for guidance on how to create User accounts, Assign Roles and details of the Workflows.

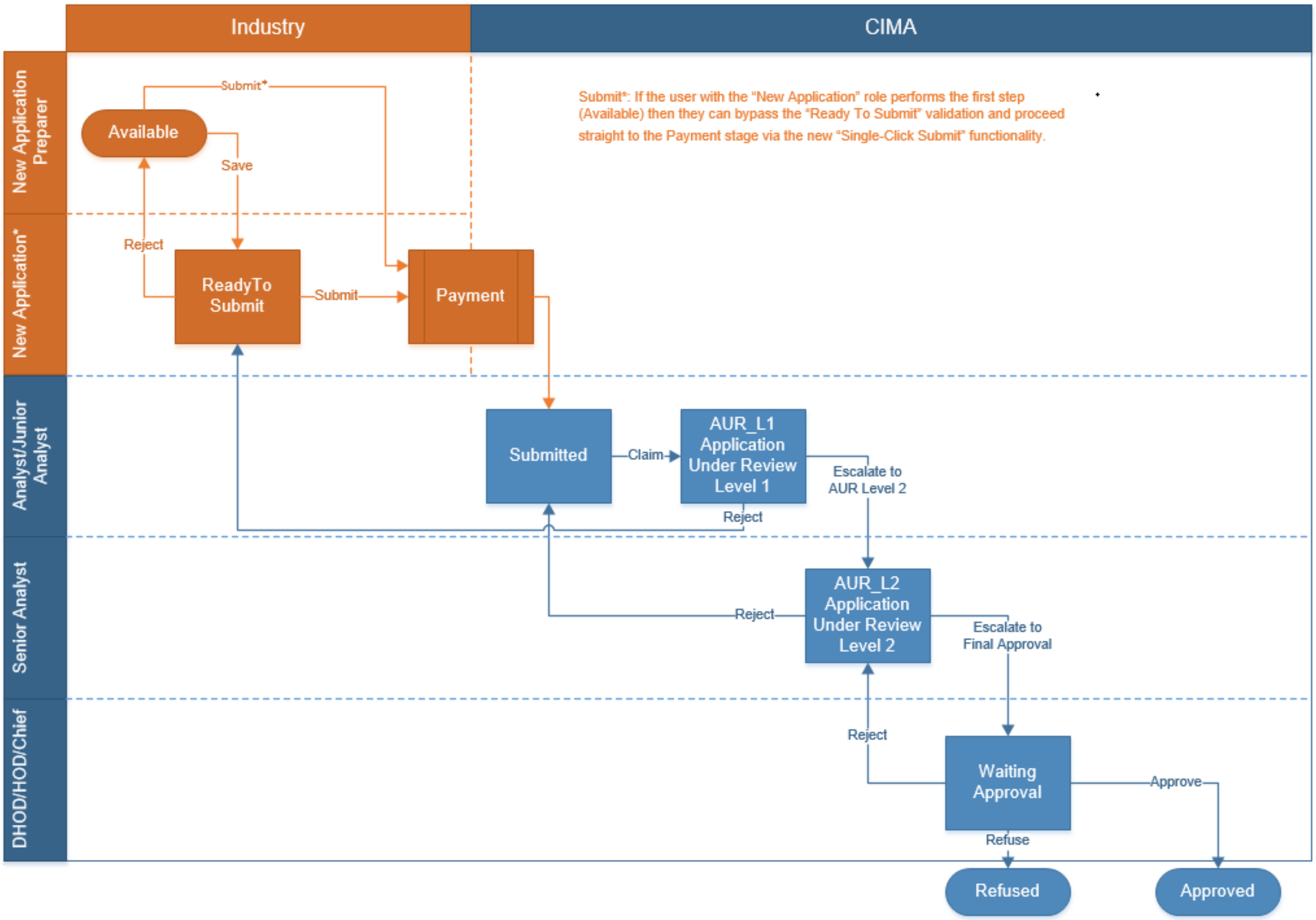
3.2 ROLES REQUIRED FOR (APP-101-77)

The following Roles are required for access to this form:

- New Application Preparer role
- New Application role (this role inherits the above role)

3.3 WORKFLOW USED FOR (APP-101-77)

The following Workflow is associated with APP-101-77. It outlines the steps that must be followed on both the **Industry**-side and the **Authority**-side for preparation, review, submission etc of the form. All steps in the workflow must be complete (validated multiple times) even if one user has inherited roles and can perform all steps in the workflow.



Steps taken on Industry-side:

1. The 'New Application Preparer' prepares the data
    a. Once the data has been entered the 'New Application Preparer' can 'Validate' the data, and then either **Save** or delete all the data
        i. If **Save** is selected, the status of the of the application changes to **Ready to Submit**
        ii. The application is ready for review by the "New Application" role
2. Once the 'New Application' role has reviewed the data they can then 'Validate' the data once again
    a. Once the data has been validated the options to either **Submit** or **Reject** becomes available
        i. If **Reject** is selected, the data is then returned to the 'New Application Preparer' for further review
        ii. If the **Submit** option is selected, it then goes to the **Payment** processer (if it is applicable)
            1. The status of the application then changes to **Submitted**

Steps taken on Authority-side:

1. Once the application has been Submitted to the Authority, an Analyst can then Claim the submission to begin the review process.
    a. Once the application has been Claimed, the status of the application changes to **Application Under Review (Level 1) ("AUR_L1")**
        i. The application is then reviewed and validated by the Analyst
            1. If the application is Rejected by the Analyst, it is returned to industry to be resubmitted
            2. If the application is accepted, it is escalated to the second level of review by a Senior Analyst, and the application status changes to **Application Under Review (Level 2) ("AUR_L2")**
                i. If the application is rejected by the Senior Analyst, it is returned to the Analyst for further review
                ii. If the application is accepted it is escalated up to a Chief Analyst for final approval, and the application status changes to **Waiting Final Approval**
                    1. If the application is rejected by the Chief Analyst, it is returned to the Senior Analyst for further review
                    2. If the application is approved the status of the application changes to **Approved**
                    3. If the application is not approved, the status of the application changes to **Refused**

3.4 SUBMITTING / RESUBMITTING

Pending

3.5 APPLICABLE FEES

The following fees are associated with this form, which can be paid via inline escrow payment:

1. **KYD 300.00** Filing fee

   From August* the following will be payable:
2. **KYD 3,500.00** annual registration Fee

3. **KYD 250.00** additional amount in respect of each of the private fund's alternative investment vehicles up to a maximum of twenty-five investment vehicles

*PRIVATE FUNDS (FEES) REGULATIONS, 2020 (SL 16 of 2020) Supplement No. 4 published with Legislation Gazette No. 12 dated 20th February, 2020.

4 COMPLETION INSTRUCTIONS

ID	Label	Instructions	Validation Rule
Schedule A – Fund Details			
A01	Name of Fund	Insert the exact name of the fund as it appears within the governing documents (e.g. Certificate of Incorporation, Certificate of Registration, Offering Document, Summary of Terms, Marketing Material, etc.) including the appropriate uppercase/lowercase and punctuation marks.	Mandatory field
A02	Industry Reference	This reference number is for the applicant's use.	Optional field
A03	Requested date of Registration	Select date you wish the Authority to recognise your registration.	Mandatory field
A04	Date of Formation / incorporation	Insert the formation date as it appears on the governing documents of the fund.	Mandatory field
A05	Registrar Registration (CORIS) Number	Add the entire alpha-numerical value listed on the Certificate of Incorporation including all letters, numbers and punctuation marks. This value is typically located within the top left corner of the Certificate of Incorporation/Registration from the Registrar.	Optional field
A06	Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
A07	Legal Structure	Select the appropriate legal structure from the drop-down list which corresponds with the governing documents of the fund. Once the appropriate legal structure has been selected (i.e. Corporate Legal Structure, Trust Structure, or Partnership), the applicable questions of **Section C – Structure,** becomes available	Mandatory field
A08	Attach Structure Chart	Select browse and add/open the corresponding document.	Mandatory field
A09	Attach Certificate of Incorporation / Registration	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Mandatory field
A10	Attach Trust Deed / Declaration of Partnership / Memorandum and Articles of Association	Select browse and add/open the corresponding document.	Mandatory field
A11	Attach Offering Document / Summary of Terms / Marketing Material	Select browse and add/open the corresponding document. Offering Document refers to the Confidential Private Placement Memorandum, Offering Memorandum, Summary of Terms, Marketing Material, etc. including any Supplemental documents.	Mandatory field
A12	Base Currency of Offering	Insert the currency that is used to quote capital commitments/calls/subscriptions.	Mandatory field
A13	Primary Investment Strategy	Select the strategy from the drop-down list which matches the primary investment strategy of the fund. If there is no strategy that matches the primary strategy of the fund within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, an additional text field will populate where the details of the strategy must be entered.	Mandatory field
A14	Primary Investment Strategy - Other	Insert details of the primary investment strategy. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual primary investment strategy.	Mandatory field if A14 is 'Other'
A15	Secondary Investment Strategy	If the fund has a secondary investment strategy, select it from the drop-down list. If there is no strategy that matches the secondary investment strategy of the fund within the drop-down list, then scroll down to the bottom of the drop-down list	Optional field

		and select the option for "Other…". Once this option has been selected, an additional text field will populate where the details of the strategy should be entered.	
A16	Secondary Investment Strategy - Other	Insert details of the secondary investment strategy. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual secondary investment strategy.	Mandatory field if A15 is 'Other'
A17	Investment restrictions Category	Select the restrictions category from the drop-down list that best describes the restrictions imposed on the investment activities of the fund, i.e. restriction by geographical location, type of industry, specific instruments or leverage limitations. If there is no category that matches the investment restrictions of the fund within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other".	Optional field
A18	Investment restrictions Details	Insert details of the investment restrictions selected in the previous field. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual investment restrictions.	Optional field
A19	Risk factors	Insert details of the risk factors. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual risk factors.	Optional field
A20	Minimum initial investment for investor in base currency	Insert the minimum capital commitment/contribution amount in the base currency which may be accepted by the fund.	Mandatory field
A21	Initial term/duration of fund (in years)	Insert the initial expected term/duration/life time of the fund (in years).	Mandatory field
A22	Maximum term/duration of fund (in years)	Insert the maximum term/duration/life time of the fund (in years). In the event that the fund has extension options, include the option that extends the life of the fund to the maximum period.	Mandatory field
A23	Actual or expected size of investor base	Select the actual or expected size of the investor base (number of investors) from the options available within the drop-down list.	Mandatory field
A24	Has Nominee Investors	If the fund has Nominee Investors, select "Yes"; otherwise, select "No". A nominee is a person or entity into whose name investments or other properties are transferred to/held on behalf of the investor to facilitate transactions while leaving the investor as the actual beneficial owner.	Mandatory field
A25	Frequency of Valuations	Select the frequency of valuations from the options available within the drop-down list.	Mandatory field
A26	FYE Day	Select the day of the financial yearend from the options available within the drop-down list.	Mandatory field
A27	FYE Month	Select the month of the financial yearend from the options available within the drop-down list.	Mandatory field
A28	Accounting Principles	Select the accounting principles from the options available within the drop-down list.	Mandatory field
A29	Auditing Principles	Select the auditing standards from the options available within the drop-down list.	Mandatory field
A30	Single fund / Multi Fund	Select Multi-Fund if the fund has any Alternative Investment Vehicles ("AIV(s)") (as defined by the Private Funds Law), Co-Investment Vehicles, Special Purpose Vehicles ("SPV(s)"), Blockers or Holding Companies within its ownership structure. If the fund structure is a Multi Fund, then the completion of the below information for all the investment vehicle types are mandatory.	Mandatory field
A31	AIV / Co-Investment Vehicles / SPVs / Blockers / Holding Companies:	Select the relevant drop-down: AIV/ Co-Investment Vehicles / SPVs / Blockers etc.	Mandatory field if A30 is 'Multi Fund'
A31i	Investment Vehicle Type	Select the investment vehicle type from the options available within the drop-down list.	Mandatory field if A30 is 'Multi Fund'

A31ii	Name	Insert the exact name of the entity as it appears on the governing documents (e.g. Offering Document, Summary of Terms, etc.) including the appropriate uppercase/lowercase and punctuation marks.	Mandatory field if A30 is 'Multi Fund'
A31iii	Country of Establishment	Select the country of establishment/incorporation as it appears on the governing documents of the fund.	Mandatory field if A30 is 'Multi Fund'
A31iv	Details same as above private fund?	If all the details are the same as for the fund above, select "Yes"; otherwise, select "No". If "No" was selected, then the completion of the remainder of the information are mandatory.	Mandatory field if A30 is 'Multi Fund'
A31v	Base Currency of Offering	Insert the currency that is used to quote capital commitments/contributions.	Mandatory field if A31iv is 'No'
A31vi	Initial term/duration of fund (in years)	Insert the initial expected term/duration/life time of the fund (in years).	Mandatory field if A31iv is 'No'
A31vii	Maximum term/duration of fund (in years)	Insert the maximum term/duration/life time of the fund (in years).	Mandatory field if A31iv is 'No'
A31viii	Primary Investment Strategy	Select the strategy from the drop-down list which matches the primary investment strategy of the fund. If there is no strategy that matches the primary strategy of the fund within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, an additional text field will populate where the details of the strategy must be entered.	Mandatory field if A31iv is 'No'
A31ix	Details	Insert details of the primary investment strategy. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual primary investment strategy.	Optional field
A31x	Secondary Investment Strategy	If the fund has a secondary investment strategy, select it from the drop-down list. If there is no strategy that matches the secondary investment strategy of the fund within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, an additional text field will populate where the details of the strategy should be entered.	Mandatory field
A31xi	Details	Insert details of the secondary investment strategy. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual secondary investment strategy.	Mandatory field if A31x is 'Other'
A31xii	Investment restrictions Category	Select the restrictions category from the drop-down list that best describes the restrictions imposed on the investment activities of the fund, i.e. restriction by geographical location, type of industry, specific instruments or leverage limitations. If there is no category that matches the investment restrictions of the fund within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other".	Optional field
A31xiii	Investment restrictions Details	Insert details of the investment restrictions selected in the previous field. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual investment restrictions.	Mandatory field
A31xiv	Risk factors	Insert details of the risk factors. Please do not insert a comment to refer to specific pages of the Offering Document, but rather insert a brief summary or copy text from the Offering Document which explains the actual risk factors.	Mandatory field
A31xv	Minimum initial investment for investor in base currency	Insert the minimum capital commitment/subscription amount in the base currency which may be accepted by the fund.	Mandatory field
A31xvi	Actual or expected size of investor Base	Select the actual or expected size of the investor base (number of investors) from the options available within the drop-down list.	Mandatory field
A31xvii	Frequency of Valuations	Select the frequency of valuations from the options available within the drop-down list.	Mandatory field
A31xviii	FYE Month	Select the month of the financial yearend from the options available within the drop-down list.	Mandatory field

A31xix	FYE Day	Select the day of the financial yearend from the options available within the drop-down list.	Mandatory field
A31xx	Accounting Principles	Select the accounting principles from the options available within the drop-down list.	Mandatory field
A31xxi	Auditing Principles	Select the auditing standards from the options available within the drop-down list.	Mandatory field
Schedule B – Service Providers			
Registered Office			
B01	Name of Registered Office	Select the appointed Registered Office from the options available within the drop-down list.	Mandatory field
B02	Ongoing queries - same as Registered Office?	If the service provider entered in the Registered Office field will be acting as the Ongoing Queries relationship, select "Yes"; otherwise, select "No".	Mandatory field
B03	If no, provide Name of Entity responsible for Ongoing Queries	Once "No" has been selected in the previous field, all the remaining fields for the Ongoing Queries relationship are required to be completed.	Mandatory field if B02 is 'No'
B03a	Building, Floor, Suite	Complete as appropriate.	Optional field
B03b	Street Name and Number	Complete as appropriate.	Mandatory field
B03c	P.O. Box	Complete as appropriate.	Optional field
B03d	City	Complete as appropriate.	Mandatory field if B02 is 'No'
B03e	Province / State	Complete as appropriate.	Mandatory field if B02 is 'No'
B03f	ZIP / Postal Code	Complete as appropriate.	Mandatory field if B02 is 'No'
B03g	Country	Select the country from the options available within the dropdown list from which the service provider operates.	Mandatory field if B02 is 'No'
B03h	Telephone Number	Complete as appropriate.	Mandatory field if B02 is 'No'
B03i	Email address	Complete as appropriate.	Mandatory field if B02 is 'No'
Fee Payments			
B04	Fee Payments - Same as Registered Office?	If the service provider entered in the Registered Office field will be acting as the Fee Payments relationship, select "Yes"; otherwise, select "No".	Mandatory field
B05	If no, provide Name of Entity responsible for Fee Payments	Once "No" has been selected in the previous field, all the remaining fields for the Fee Payments relationship are required to be completed.	Mandatory field if B04 is 'No'
B05a	Building, Floor, Suite	Complete as appropriate.	Mandatory field
B05b	Street Name and Number	Complete as appropriate.	Optional field
B05c	P.O. Box	Complete as appropriate.	Optional field
B05d	City	Complete as appropriate.	Mandatory field if B04 is 'No'
B05e	Province / State	Complete as appropriate.	Mandatory field if B04 is 'No'
B05f	ZIP / Postal Code	Complete as appropriate.	Mandatory field if B04 is 'No'
B05g	Country	Select the country from the options available within the dropdown list from which the service provider operates.	Mandatory field if B04 is 'No'
B05h	Telephone Number	Complete as appropriate.	Mandatory field if B04 is 'No'
B05i	Email address	Complete as appropriate.	Mandatory field if B04 is 'No'
Distributor			
B06	Name of Distributor (if applicable)	Enter the name of the appointed Distributor (if applicable).	Optional field

Investment Manager			
B07	Is the investment manager independent (i.e. outside the group of entities or common shareholder group?)	If the Investment Manager is independent, select "Yes"; otherwise, select "No". The Investment Manager is seen to be independent if it is does not have a control relationship with the fund's directors/operators. The Investment Manager is also outside the group/common shareholder group if it is not under the ownership of or common control of the fund.	Mandatory field
B08	Country of Investment Manager	Select the country of establishment/incorporation as it appears on the governing documents for the Investment Manager.	Mandatory field
B08a	If in Cayman, select Investment Manager name	Select the name of the Investment Manager from the options available within the drop-down list. If the name of the Investment Manager is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, additional fields will populate where the name of the new Investment Manager can be added including the REEFS application number for the registration/licence application for the Investment Manager.	Mandatory field if B08 is 'Cayman Islands'
B08b	If in Cayman but not registered/licensed, provide Investment Manager Name	If the option "Other" has been selected within the previous field, then enter the name as it appears on the governing documents.	Mandatory field if B08a is 'Other'
B08bb	New Investment Manager Application Ref#	Provide the REEFS application number for the registration/licence application for the new Investment Manager.	Mandatory field id B08a is 'Other'
B08c	If not in Cayman, provide Investment Manager name	Enter the name of the appointed Investment Manager.	Mandatory field
B09	If not in Cayman, select name of regulator of Investment Manager (if applicable)	Select the name of the regulator from the options available within the drop-down list. If the name of the Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, additional fields will populate where the name of the new Investment Manager can be added.	Optional field
B09o	If regulator is not on the list in B09, then provide name and country of regulator	If the option "Other" has been selected within the previous field, then enter the name of the Regulator.	Mandatory field if B09 is 'Other'
B10	**Principal(s) of the Investment Manager as disclosed in the Offering document / marketing materials / summary of terms:**		
B10i	First Name	Enter the First name of the Principal of the Investment Manager. To add more than one principal of the Investment Manager, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B10ii	Last Name	Complete as appropriate.	Optional field
B10iii	Email Address	Complete as appropriate.	Optional field
Investment Advisor (if applicable)			
B11i	Country	Select country in the dropdown list from which the appointed Investment Advisor operates. If more than one Investment Advisor has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B11ii	Name of Advisor	Complete as appropriate.	Optional field
B11iii	Principal First Name	Complete as appropriate.	Optional field
B11iv	Principal Last Name	Complete as appropriate.	Optional field
B11v	Principal Email Address	Complete as appropriate.	Optional field
Administrator			
B12	Does the fund provide its own administration services?	If the fund provides its own administration services, then select "Yes"; otherwise, select "No". Please answer "Yes" only if the fund does not engage/contract an external fund administrator	Mandatory field

B13	Country of Administrator	If the "No" option was selected in the previous field, select the country in the dropdown list from which the appointed administrator operates.	Mandatory field if B12 is 'No'
B14a	If in Cayman, select Administrator Name	Select the appointed Administrator from the options available within the drop-down list.	Optional field
B14b	If not in Cayman, provide Administrator Name	Enter the name of the appointed Administrator.	Optional field
B14c	Administrator's Consent Letter	Select browse and attach the consent letter from the appointed Administrator.	Mandatory field
B15	Name of Regulator for Administrator contracted (if applicable)	Select the name of the Regulator from the options available within the drop-down list. If the name of Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, additional fields will populate where the name of the Regulator can be added.	Optional field
B15o	Name of Regulator for Administrator contracted (if applicable)	If the option "Other" has been selected within the previous field, then enter the name of the Regulator.	Mandatory field if B15 is 'Other'
Registrar and Transfer Agent			
B16	Registrar and Transfer Agent - Same as Administrator?	If the service provider entered in the Administrator field will be acting as the Registrar and Transfer Agent relationship, select "Yes"; otherwise, select "No".	Mandatory field
B16a	If no, provide name of Registrar and Transfer Agent	Enter the name of the appointed Registrar and Transfer Agent.	Mandatory field if B16 is 'No'
B17	Country of Registrar and Transfer Agent	Select country in the dropdown list from which the appointed Registrar and Transfer Agent operates.	Mandatory field if B16 is 'No'
B18	Attach consent from Registrar and Transfer Agent	Select browse and attach the consent letter from the appointed Registrar and Transfer Agent.	Mandatory field if B16 is 'No'
B19	Name of Regulator for Registrar and Transfer Agent contracted (if applicable)	Select the name of the Regulator from the options available within the drop-down list. If the name of Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, additional fields will populate where the name of the Regulator can be added.	Optional field
B19o	If regulator is not on the list in B19, then provide name and country of regulator	If the option "Other" has been selected within the previous field, then enter the name of the Regulator.	Mandatory field if B19 is 'Other'
B20	Is the Registrar and Transfer Agent independent (i.e. outside the group/common shareholder group of the investment manager)?	If the Registrar and Transfer Agent is independent, select "Yes"; otherwise, select "No". The Registrar and Transfer Agent is seen to be independent if it is does not have a control relationship with the fund's investment manager and directors/operators. The Registrar and Transfer Agent is also outside the group/common shareholder group if it is not under the ownership of or common control of the investment manager.	Mandatory field
NAV Calculation Agent			
B21	NAV Calculation Agent - Same as Administrator?	If the service provider entered in the Administrator field will be acting as the NAV Calculation Agent relationship, select "Yes"; otherwise, select "No".	Mandatory field
B21a	If no, provide name of NAV Calculation Agent	Enter the name of the appointed NAV Calculation Agent.	Mandatory field if B21 is 'No'
B22	Country of NAV Calculation Agent	Select country in the dropdown list from which the appointed NAV Calculation Agent operates.	Mandatory field if B21 is 'No'
B23	Attach consent from NAV Calculation Agent	Select browse and attach the consent letter from the appointed Registrar and Transfer Agent.	Mandatory field if B21 is 'No'
B24	Name of Regulator for NAV Calculation Agent contracted (if applicable)	Select the name of the Regulator from the options available within the drop-down list. If the name of Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other…". Once this option has been selected, additional fields will populate where the name of the Regulator can be added.	Optional field

B24o	If regulator is not on the list in B24 then provide name and country of regulator	If the option "Other" has been selected within the previous field, then enter the name of the Regulator.	Mandatory field if B24 is 'Other'
B25	Is the NAV Calculation Agent independent (i.e. outside the group/common shareholder group of the investment manager)?	If the NAV Calculation Agent is independent, select "Yes"; otherwise, select "No". The NAV Calculation Agent is seen to be independent if it is does not have a control relationship with the fund's investment manager and directors/operators. The NAV Calculation Agent is also outside the group/common shareholder group if it is not under the ownership of or common control of the investment manager.	Mandatory field
Sub-Administrator			
B26i	Name	Enter the name of the Sub-Administrator, if applicable. If more than one Sub-Administrator has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B26ii	Country	Select country from which the contracted Sub-Administrator operates.	Optional field
Prime Broker			
B27i	Name	Enter the name of the Prime Broker, if applicable. If more than one Prime Broker has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B27ii	Country	Select country from which the Prime Broker operates.	Optional field
Custodian			
B28i	Name	Enter the name of the Custodian, if applicable. If more than one Custodian has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B28ii	Country	Select country from which the Custodian operates.	Optional field
Sub-Custodian			
B29i	Name	Enter the name of the Sub-Custodian, if applicable. If more than one Sub-Custodian has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B29ii	Country	Select country from which the Sub-Custodian operates.	Optional field
Depository			
B30	Name of Depositary	Enter the name of the Depository, if applicable. If more than one Depository has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B31	Country of Depositary	Select country from which the Depository operates.	Optional field
Stock Exchange			
B32	Primary Stock Exchange of Fund	Select primary Stock Exchange of the fund from the dropdown list. If the fund is not listed, select the "Fund not listed" option.	Mandatory field
Legal Counsel			
B33	Legal Counsel in Cayman	Select the name of the Cayman Legal Counsel from the options available within the drop-down list.	Mandatory field
B34	**Other Legal Counsel (if applicable):**		
B34i	Name	Enter the name of any other Legal Counsel used, if applicable. If more than one other Legal Counsel has been contracted, use the "+" button to add as many rows as needed to provide all the names.	Optional field
B34ii	Country	Select country from which the other Legal Counsel operates.	Optional field
Auditors			
B35	Cayman auditor (local audit sign-off)	Select the name of the Cayman (local) Auditor from the options available within the drop-down list.	Optional field
B36	Attach Auditor's Consent Letter	Select browse and attach the consent letter from the appointed Cayman (local) Auditor.	Optional field

B37	Name of overseas auditor (if applicable)	Enter the name of the overseas auditor, if the Cayman Auditor is working with an overseas auditor to carry out the audit work.	Optional field
B38	Country of overseas auditor	Select country from which the overseas auditor operates.	Optional field
Promotor/Sponsor			
B39	Name of Promoter / Sponsor	Enter the name of the Promotor/Sponsor.	Optional field
B40	Country of Promoter / Sponsor	Select country from which the Promotor/Sponsor operates.	Optional field
Schedule C – Structure			
Corporate Legal Structures			
Person Directors (Minimum of two persons or one corporate institution)			
CIMA Directors (if applicable)	**This section is for directors who already registered with the Authority under the DRLL and is linked to the REEFS profile of the service provider completing this form.**		
C01	Director	A minimum of two individuals appointed as directors or one corporate institution is required. Select the available directors from the dropdown list. If the appointed directors are not available within the dropdown list, enter the director details within the next field for "Director(s) not yet related".	Optional field
CIMA Directors not yet related (if applicable):	**This section is for directors who already registered with the Authority under the DRLL but is not linked (related) to the REEFS profile of the service provider completing this form.**		
C02i	Director First Name (or Corporate Director Name)	Insert the first name of the director (for individuals) or the full name of corporate director.	Optional field
C02ii	Director Last Name	Enter the last name of the director (for individuals)	Optional field
C02iii	Director ID	Enter the unique 7-digit number the Director has been assigned by the Authority. Director ID number is required for this section of the form.	Optional field
Other Directors (if applicable):	**This section is for directors who are not registered with the Authority under the DRLL.**		
C03i	First name	Complete as appropriate.	Optional field
C03ii	Middle Name	Complete as appropriate.	Optional field
C03iii	Last name	Complete as appropriate.	Optional field
C03iv	Date of Birth	Complete as appropriate.	Optional field
C03v	Country of Birth	Complete as appropriate.	Optional field
C03vi	Email Address	Complete as appropriate.	Optional field
Corporate Director			
C04	Name	Insert the full name of the Corporate Director.	Optional field
C05	Country of Formation	Select country from which the Corporate Director operates.	Optional field
C06	CIMA ID (if known)	Enter the unique 7-digit number the Director has been assigned by the Authority.	Optional field
C07	**Details of Principals of Corporate Director (if applicable):**		
C07i	First name	Enter the First name of the Principal of the Corporate Director. To add more than one principal of the Corporate Director, use the "+" button to add as many rows as needed to provide all the names.	Optional field
C07ii	Middle Name	Complete as appropriate.	Optional field
C07iii	Last name	Complete as appropriate.	Optional field
C07iv	Date of Birth	Complete as appropriate.	Optional field
C07v	Country of Birth	Complete as appropriate.	Optional field

C07vi	Email Address	Complete as appropriate.	Optional field
Trust Structures			
C08	Trustee	Select the Trustee from the dropdown list.	Mandatory field
Partnerships			
C09	General Partner ("GP")	Enter the name of the General Partner.	Mandatory field
C10	GP Country	Select country from which the General Partner operates.	Mandatory field
C11	GP Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
C12	**Details of Principals of General Partner:**		
C12i	First name	Enter the First name of the Principal of the General Partner. To add more than one principal of the General Partner, use the "+" button to add as many rows as needed to provide all the names.	Mandatory field
C12ii	Middle Name	Complete as appropriate.	Optional field
C12iii	Last name	Complete as appropriate.	Optional field
C12iv	Date of Birth	Complete as appropriate.	Optional field
C12v	Country of Birth	Complete as appropriate.	Optional field
C12vi	Email Address	Complete as appropriate.	Optional field
C12vii	CIMA ID (if known)	Complete as appropriate.	Optional field

Schedule D – AML Officers

D00i	Is the AML function outsourced?	If the AML function is outsourced, select "Yes"; otherwise, select "No".	Mandatory field
D00ii	AML/CFT service provider name	If the AML function is outsourced, insert the name of the AML/CFT service provider.	Mandatory field if D00i is 'Yes'
D00iii	AML/CFT service provider country	If the AML function is outsourced, select the country in the dropdown list from which the appointed AML/CFT service provider operates.	Mandatory field if D00i is 'Yes'
D00iv	AML/CFT service provider email	If the AML function is outsourced, insert the email address of the AML/CFT service provider.	Mandatory field if D00i is 'Yes'
Details of Anti-Money Laundering Compliance Officer (ALMCO) (required)			
D01	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D02	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D03	First Name	Complete as appropriate.	Mandatory field
D04	Middle Name	Complete as appropriate.	Optional field
D05	Last Name	Complete as appropriate.	Mandatory field
D06	Date of Birth	Use the date picker to add the correct date of birth.	Optional field
D07	Country of Birth	Select from the options available within the drop-down list.	Optional field
D08	Gender	Select from the options available within the drop-down list, i.e. male or female.	Optional field
D09	Other names (Aliases)	Complete as appropriate.	Optional field
D10	Occupation Title	The current position with the employer.	Optional field
D11	Employer	Complete as appropriate.	Optional field
D12	P.O. Box	Complete as appropriate.	Optional field
D13	Street Address	Complete as appropriate.	Optional field
D14	City	Complete as appropriate.	Optional field
D15	State/ Province	Complete as appropriate.	Optional field

D16	Country	Select from the options available within the drop-down list.	Optional field
D17	Zip / Postal Code	Complete as appropriate.	Optional field
D18	Phone Number	Complete as appropriate.	Optional field
D19	Facsimile Number	Complete as appropriate.	Optional field
D20	Email Address	Complete as appropriate.	Optional field
D21	CV / Resume	Select browse and add/open the corresponding document.	Optional field
D22	**Qualifications:**		
D22i	Description	Complete as appropriate.	Optional field
D22ii	Date	Use the date picker to add the correct date.	Optional field
D22iii	Accrediting Body	Complete as appropriate.	Optional field
D22iv	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Optional field
Details of Deputy Anti-Money Laundering Compliance Officer (DAMLCO) (optional)			
D23	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D24	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D25	First Name	Complete as appropriate.	Optional field
D26	Middle Name	Complete as appropriate.	Optional field
D27	Last Name	Complete as appropriate.	Optional field
D28	Date of Birth	Use the date picker to add the correct date of birth.	Optional field
D29	Country of Birth	Select from the options available within the drop-down list.	Optional field
D30	Gender	Select from the options available within the drop-down list, i.e. male or female.	Optional field
D31	Other names (Aliases)	Complete as appropriate.	Optional field
D32	Occupation Title	The current position with the employer.	Optional field
D33	Employer	Complete as appropriate.	Optional field
D34	P.O. Box	Complete as appropriate.	Optional field
D35	Street Address	Complete as appropriate.	Optional field
D36	City	Complete as appropriate.	Optional field
D37	State/ Province	Complete as appropriate.	Optional field
D38	Country	Select from the options available within the drop-down list.	Optional field
D39	Zip / Postal Code	Complete as appropriate.	Optional field
D40	Phone Number	Complete as appropriate.	Optional field
D41	Facsimile Number	Complete as appropriate.	Optional field
D42	Email Address	Complete as appropriate.	Optional field
D43	CV / Resume	Select browse and add/open the corresponding document.	Optional field
D44	**Qualifications:**		
D44i	Description	Complete as appropriate.	Optional field
D44ii	Date	Use the date picker to add the correct date.	Optional field
D44iii	Accrediting Body	Complete as appropriate.	Optional field
D44iv	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Optional field
Details of Money Laundering Reporting Officer (MLRO) (required)			
D45	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by	Optional field

		the Authority, this number is required to ensure accurate records.	
D46	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D47	First Name	Complete as appropriate.	Mandatory field
D48	Middle Name	Complete as appropriate.	Optional field
D49	Last Name	Complete as appropriate.	Mandatory field
D50	Date of Birth	Use the date picker to add the correct date of birth.	Optional field
D51	Country of Birth	Select from the options available within the drop-down list.	Optional field
D52	Gender	Select from the options available within the drop-down list, i.e. male or female.	Optional field
D53	Other names (Aliases)	Complete as appropriate.	Optional field
D54	Occupation Title	The current position with the employer.	Optional field
D55	Employer	Complete as appropriate.	Optional field
D56	P.O. Box	Complete as appropriate.	Optional field
D57	Street Address	Complete as appropriate.	Optional field
D58	City	Complete as appropriate.	Optional field
D59	State/ Province	Complete as appropriate.	Optional field
D60	Country	Select from the options available within the drop-down list.	Optional field
D61	Zip / Postal Code	Complete as appropriate.	Optional field
D62	Phone Number	Complete as appropriate.	Optional field
D63	Facsimile Number	Complete as appropriate.	Optional field
D64	Email Address	Complete as appropriate.	Optional field
D65	CV / Resume	Select browse and add/open the corresponding document.	Optional field
D66	**Qualifications:**		
D66i	Description	Complete as appropriate.	Optional field
D66ii	Date	Use the date picker to add the correct date.	Optional field
D66iii	Accrediting Body	Complete as appropriate.	Optional field
D66iv	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Optional field
Details of Deputy Money Laundering Reporting Officer (DMLRO) (required)			
D67	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D68	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D69	First Name	Complete as appropriate.	Mandatory field
D70	Middle Name	Complete as appropriate.	Optional field
D71	Last Name	Complete as appropriate.	Mandatory field
D72	Date of Birth	Use the date picker to add the correct date of birth.	Optional field
D73	Country of Birth	Select from the options available within the drop-down list.	Optional field
D74	Gender	Select from the options available within the drop-down list, i.e. male or female.	Optional field
D75	Other names (Aliases)	Complete as appropriate.	Optional field
D76	Occupation Title	The current position with the employer.	Optional field
D77	Employer	Complete as appropriate.	Optional field
D78	P.O. Box	Complete as appropriate.	Optional field

D79	Street Address	Complete as appropriate.	Optional field
D80	City	Complete as appropriate.	Optional field
D81	State/ Province	Complete as appropriate.	Optional field
D82	Country	Select from the options available within the drop-down list.	Optional field
D83	Zip / Postal Code	Complete as appropriate.	Optional field
D84	Phone Number	Complete as appropriate.	Optional field
D85	Facsimile Number	Complete as appropriate.	Optional field
D86	Email Address	Complete as appropriate.	Optional field
D87	CV / Resume	Select browse and add/open the corresponding document.	Optional field
D88	**Qualifications:**		
D88i	Description	Complete as appropriate.	Optional field
D88ii	Date	Use the date picker to add the correct date.	Optional field
D88iii	Accrediting Body	Complete as appropriate.	Mandatory field
D88iv	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field

5 REUSING PREVIOUS SUBMISSIONS

What is "XBRL"?

XBRL (e**X**tensible **B**usiness **R**eporting **L**anguage), is a standards-based way to communicate and exchange business information between business systems.

Data can be used from a previous reporting period or submission instead of starting from fresh. You must have entered data into at least one form using the online portal and have gone through a successfully validated submission.

- Example: Rapidly re-using the Anti-Money Laundering officers application for (MLO-154-99)

Process:

1. Select "**Submitted Requests**" to view previously submitted forms and select the one that contains the data.
2. Click on "**Download: XBRL Instance**" in the top right corner and save the file to your PC or network drive.
3. Close the form.
4. Select "**New Request**" and select the required new/empty form (e.g. MLO-154-99).
5. Click on "**Upload: XBRL Instance**" in the top right corner.
6. Click on "**Browse...**" and navigate to the file that was saved in step 2 above (usually in the "Downloads" folder).
7. Click "**Upload**".
8. The system will then copy each data point from the XBRL file into the fields of the current form.
9. The system displays the message "**Import Successful**" to indicate that the data was all copied OK.
10. The user can then review and make changes to the data.
11. Proceed as usual through the rest of the validation process.

These instructions can be used for **New Application forms**, **Change Request forms** and **Financial Returns**.

6 TROUBLESHOOTING

6.1 COMMON VALIDATION RULES

Pending

6.2 UNDERSTANDING OTHER ERRORS

Pending