

Cayman Islands Stock Exchange

CINS/ISIN IDENTIFIER CHECKLIST – FUNDS

Legal Issuer Name: (as stated in the offering document)											
Name of Sub-Fund/Segregated Portfolio: (if applicable)											
Issue Description: (Please specify below only the share class/es and currency for each security for which a CINS/ISIN identifier is required)											
Currency	Share Class										
Billing Address:											
Stock Exchange where traded: (if applicable)											
Terms of the securities: (Please select one only from each of the below: ✓)											
Fund Type:	<input type="checkbox"/>	Open-end	<input type="checkbox"/>	Closed-end							
Payment Status:	<input type="checkbox"/>	Fully Pd. No Par	<input type="checkbox"/>	Fully Pd Par Value	<input type="checkbox"/>	Nil Paid	<input type="checkbox"/>	Partly Paid			
Fund Distribution Policy:	<input type="checkbox"/>	Growth Fund		<input type="checkbox"/>	Income Fund		<input type="checkbox"/>	Mixed Fund			
Fund Investment Policy/Assets:											
<input type="checkbox"/>	Capital Appreciation		<input type="checkbox"/>	Health/Biotech		<input type="checkbox"/>	Natural Resources				
<input type="checkbox"/>	Commodities		<input type="checkbox"/>	High Yield Tax Bonds		<input type="checkbox"/>	Precious Metals				
<input type="checkbox"/>	Derivatives		<input type="checkbox"/>	Intermediate Tax Bonds		<input type="checkbox"/>	Real Estate				
<input type="checkbox"/>	Environment		<input type="checkbox"/>	International		<input type="checkbox"/>	Science & Technology				
<input type="checkbox"/>	Equity & Income		<input type="checkbox"/>	Long Term Tax Bonds		<input type="checkbox"/>	Securities				
<input type="checkbox"/>	Financial Services		<input type="checkbox"/>	Mid-Cap		<input type="checkbox"/>	Small Co. Growth				
<input type="checkbox"/>	Global		<input type="checkbox"/>	Mixed-General		<input type="checkbox"/>	State Taxable Bonds				
<input type="checkbox"/>	Growth		<input type="checkbox"/>	Mortgage-Backed Bonds		<input type="checkbox"/>	Utilities				
<input type="checkbox"/>	Growth & Income		<input type="checkbox"/>	Municipal Bonds		<input type="checkbox"/>					
Ownership Restriction*:			<input type="checkbox"/>	Restricted			<input type="checkbox"/>	Unrestricted			
Voting Rights:	<input type="checkbox"/>	Voting	<input type="checkbox"/>	Non-Voting	<input type="checkbox"/>	Restricted Voting		<input type="checkbox"/>	Enhanced Voting	<input type="checkbox"/>	Subordinated Voting

Note: Where applicable, supplementary documents must be attached to the email application.

*** Explanatory Note:**

Unrestricted: publicly traded on a stock exchange with no restrictions on trading or transfers;

Restricted: there are restrictions on trading or transfers, for example *Regulation D Rules 505 and 506, Rule 144A Qualified Institutional Buyers.*