



## REINSTATEMENT OF SEGREGATED PORTFOLIOS MUTUAL FUND SPCs (NOTIFICATION)

SEGREGATED PORTFOLIO COMPANIES (MUTUAL FUNDS) REGULATIONS, 2018

[Regulation 12(1)]

SPC-INV 4

Please forward completed forms, appendices, documentation and relevant notification fees to:

Director, Investment Business Division  
**British Virgin Islands Financial Services Commission**  
Pasea Estate  
P.O. Box 418  
Road Town, Tortola VG1110  
British Virgin Islands

### Notes to Mutual Funds SPCs:

(A) This notification form (SPC-INV4) relates to any mutual fund SPC that has reinstated one or more segregated portfolios (i.e. restored or reused the same segregated portfolios) that were previously terminated.

(B) For an application to be considered filed, **all** sections of the SPC-INV4 application form must be completed and submitted to the Commission by the mutual fund SPC's **authorised representative** (*appointed pursuant to section 65 of the Securities and Investment Business Act*), along with the following:

- Offering Memorandum/Prospectus for **each** segregated portfolio reinstated (*in the case of public, private or professional mutual fund SPCs*)
- Investment Warning for **each** segregated portfolio to be reinstated (*in the case of incubator or approved mutual fund SPCs*)
- Board resolution(s) of the mutual fund SPC approving the reinstatement of each segregated portfolio
- Amendments to the mutual fund SPC's Memorandum and Articles of Association (*where segregated portfolios are listed in the constitutional documents*)
- Current Schedule attached to the mutual fund SPC's Certificate of Registration, Recognition or Status (*where issued*)
- Application Fees (*\$350 per segregated portfolio to be created*)

(C) The SPC-INV4 notification form must be filed within **seven (7) days** of the reinstatement of segregated portfolios. Thereafter, the mutual fund SPC will be subject to penalty fees as prescribed by the Segregated Portfolio Companies (Mutual Funds) Regulations.

(D) Section 5 of the SPC-INV4 notification form requires the completion and submission of a Segregated Portfolio Sheet (*appended to the notification form*), for **each** segregated portfolio that has been reinstated.

(E) A mutual fund SPC may submit any other information that it considers helpful to the Commission's assessment of the reinstatement of the segregated portfolio(s).

**1. Name of Mutual Fund SPC:****2. BVI Business Company No:****3. Type of Fund:**

Public    Private    Professional    Incubator    Approved

**4. No. of Segregated Portfolios Reinstated:****5. Details of the Segregated Portfolios Reinstated:**

Complete one Segregated Portfolio Sheet for **each** segregated portfolio to be created.

**6. Declaration by Authorised Representative:**

The undersigned, as authorised representative of the mutual fund SPC named in item 1, declares that all of the information provided in this notification form and its appendices is to my/our knowledge and belief, true and accurate, and any documentation attached have been verified as authentic. I/We\* understand that providing false or misleading information may cause the Commission to take enforcement action against the mutual fund SPC or deny any application which may be submitted on behalf of the mutual fund SPC.

**Name of Authorised Representative:****Name of Person Completing the Form:****Address:****Email Address:****Telephone No.:****Signature:****Date:**

(dd/mm/yyyy)

## Segregated Portfolio Sheet (Reinstated) - Appendix

Name, Identification or Designation of Segregated Portfolio reinstated:

Date of Terminated:

(dd/mm/yyyy)

Date Reinstated:

(dd/mm/yyyy)

### DETAILS OF FUNCTIONARIES

Name	Jurisdiction of Incorporation	Business Address
<b>Investment Manager(s)</b>		
<b>Administrator(s)</b>		
<b>Investment Advisor(s)</b>		
<b>Custodian(s)</b>		
<b>Prime Broker(s)</b>		
<b>Trustee(s)</b>		

## Segregated Portfolio Sheet (Reinstated) - Appendix

Name, Identification or Designation of Segregated Portfolio reinstated:

Date of Terminated:

(dd/mm/yyyy)

Date Reinstated:

(dd/mm/yyyy)

### DETAILS OF FUNCTIONARIES

Name	Jurisdiction of Incorporation	Business Address
<b>Investment Manager(s)</b>		
<b>Administrator(s)</b>		
<b>Investment Advisor(s)</b>		
<b>Custodian(s)</b>		
<b>Prime Broker(s)</b>		
<b>Trustee(s)</b>		

## Segregated Portfolio Sheet (Reinstated) - Appendix

Name, Identification or Designation of Segregated Portfolio reinstated:

Date of Terminated:

(dd/mm/yyyy)

Date Reinstated:

(dd/mm/yyyy)

### DETAILS OF FUNCTIONARIES

Name	Jurisdiction of Incorporation	Business Address
<b>Investment Manager(s)</b>		
<b>Administrator(s)</b>		
<b>Investment Advisor(s)</b>		
<b>Custodian(s)</b>		
<b>Prime Broker(s)</b>		
<b>Trustee(s)</b>		