

For DFSA use only

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## Form CIR

# Notification of the marketing and selling of Funds

Applicant's contact person for this notification

Position/title

Correspondence address

Telephone / fax number:

E-mail address


### **Purpose of this form**

The purpose of this form is to assist an Authorised Firm with its reporting requirements in the Collective Investment Rules of the DFSA Rulebook in relation to the marketing and selling of Foreign Funds and Domestic Funds.

The form consists of four sections:

1. Declaration
2. Authorised Firm information
3. Marketing and selling of Foreign Funds
4. Marketing and selling of Domestic and External Funds

All firms must complete sections 1 and 2, together with section 3 or 4 as applicable, or both, if this is the case.

On receipt of this form, the DFSA may, as appropriate, request any other information to provide further clarification.

### **Notes for completing this form**

- Defined terms are identified throughout this application form by the capitalisation of the initial letter of a word or phrase and are defined in the Glossary module (GLO) of the DFSA's Rulebook.
- Questions must be answered fully and the use of abbreviations or acronyms should be avoided or defined.
- Do not leave any questions blank. If a question is not applicable this should be indicated in the response section.
- Answers must be typed in electronic format and the form must be signed by the Compliance Officer, Senior Executive Officer, or a Licensed Director/Partner of the Authorised Firm, or an individual designated by one of these persons for the purpose of completing this form.
- The report covers the same period for all firms – the preceding calendar year – and is required to be submitted to the DFSA by the 31<sup>st</sup> of January each year.
- Once completed, this form should be submitted along with Section's 2, 3 and 4 in Excel format only to [DFSAFunds@dfsa.ae](mailto:DFSAFunds@dfsa.ae). The Excel format required is attached to the electronic version of this form.
- Firms are advised to retain a copy of the form for their records.

**SECTION 1: DECLARATION**

**Declaration by the Authorised Firm**

1. I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this form is complete and correct. I understand that it is an offence under Article 66 of the Regulatory Law 2004 to provide to the DFSA any information which is false, misleading or deceptive or to conceal information where the concealment of such information is likely to mislead or deceive the DFSA.
2. I confirm that I have the authority to make this notification, to declare as specified above and sign this form for, or on behalf of, the Authorised Firm.

Signature of Compliance Officer, Senior Executive Officer or Licensed Director/Partner, or individual nominated by any of the aforementioned

Date

Name of above person

Position/title

## SECTION 2 – AUTHORISED FIRM INFORMATION

2.1	Full name of the Authorised Firm	<input type="text"/>
2.2	DFSA Licence number	<input type="text"/>

## SECTION 3 – MARKETING AND SELLING OF FOREIGN FUNDS

**PART A: Designated Funds**

**PART B: Other Foreign Fund Criteria**

**PART C: Recommendation-Based Offers of Units of Foreign Funds**

**PART D: Offers of Units of Foreign Funds that meets the criteria in Article 54(1)(c) of the CIL**

## SECTION 4 – MARKETING AND SELLING OF DOMESTIC AND EXTERNAL FUNDS

### Excel Form

- Please use this Excel Form for your submissions in relation to Sections 2, 3 and 4.



CIR.xlsx