

**Appendix 3**

In this appendix underlining indicates new text and striking through indicates deleted text.



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# The DFSA Rulebook

## Collective Investment Rules

### (CIR)

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## 15            **MARKETING OF FOREIGN FUNDS**

### 15.1        **Access to Foreign Funds and availability of Prospectus**

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#### **Periodic Information to DFSA**

- 15.1.10** (1) An Authorised Firm must submit to the DFSA, by the end of January each year~~within four months of the end of the Authorised Firm's financial year~~, a report regarding any Offer or Transaction in respect of a Unit of any Domestic Fund or Foreign Fund which has been made during the preceding ~~financial~~calendar year.
- (2) The report required under (1) must include the details of:
- (a) the name of the Fund and its Fund Manager; and
  - (b) if the Fund is a Foreign Fund:
    - (i) whether it is a Designated Fund and, if so, in which Recognised Jurisdiction it is authorised or approved; and
    - (ii) if it is not a Designated Fund, the other criteria under which the Authorised Firm has relied when marketing the Units of the relevant Foreign Fund.

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