

Entity Status Notification under the Cayman Islands Economic Substance Act

Instructions: Complete this form B for a Cayman Islands [Investment Fund](#)

Complete this form using Adobe Acrobat. The form does not need to be signed. Send the completed form to regulation@campbellslegal.com

If any of the information set out below changes, you should notify Campbells within 30 days of the change by email to regulation@campbellslegal.com

Entity Name (the “Named Entity”):	
Named Entity Reference Number (to be added by Campbells):	
Named Entity Financial Year End (dd/mm):	
Named Entity Legal Form:	<p>Company</p> <p>Limited Liability Company (LLC)</p> <p>Limited Liability Partnership (LLP)</p> <p>Limited Partnership</p> <p>Partnership</p>
ES Classification – Investment Fund	
Confirm that the Named Entity’s business falls within the definition of Investment Fund by completing Part A or Part B as applicable, and Part C below.	
The Named Entity is an Investment Fund.	Complete Parts A and C
The Named Entity is an entity related to the an Investment Fund.	Complete Parts B and C
PART A	
The Named Entity is an Investment Fund	
Investment Fund: (A) The Named Entity’s principal business is the issuing of investment interests to raise funds or pool investor funds with the aim of enabling a holder of such an investment interest to benefit from the profits or gains from the entity’s acquisition, holding, management or disposal of investments and includes any entity through which an investment fund directly or indirectly invests or operates (but not an entity that is itself the ultimate investment held), but does not include a person licensed under the Banks and Trust Companies Act (2021 Revision) or the Insurance Act, 2010 [Act 32 of 2010], or a person registered under the Building Societies Act (2020 Revision) or the Friendly Societies Act (1998 Revision). Investment Fund business is defined as the business of operating an investment fund. “Investment Interests” means a share, trust unit, partnership interest, or other right that carries an entitlement to participate in the profits or gains of the entity. ¹	<p>Yes</p> <p>No</p> <p>Go to (B)</p>
Named Entity’s Role:	Fund
Jurisdiction of formation of the Named Entity: (ISO Alpha 2 character available here) (Enter KY for Cayman Islands)	
The CIMA, FI and/or GIIN information provided below belongs to the Named Entity.	<p>Yes</p> <p>No If the CIMA, FI and/or GIIN number belong to an Investment Fund Related Entity, please provide this information in the relevant fields in Part B below.</p> <p>N/A</p>

Named Entity's CIMA Reference Number (Available here Enter N/A if not applicable):	
Named Entity's FI Number² (enter N/A if not applicable):	
Named Entity's GIIN Number (enter N/A if not applicable):	
Go to Part C	
PART B	
The Named Entity is a Cayman Islands entity through which a Cayman Islands investment fund directly or indirectly invests or operates.	
Investment Fund Related Entity: (B) The Named Entity is an entity through which an investment fund directly or indirectly invests or operates (but not an entity that is itself the ultimate investment held). That is, any Cayman Islands entity through which an investment fund directly or indirectly invests or operates is not a relevant entity. For the avoidance of doubt, the words "through which an investment fund directly or indirectly invests or operates" refer to any entity which functions solely as part of the investment fund structure which is not carrying on an operating business (i.e. its purpose is passive in nature). That type of entity should be distinguished from an entity that is itself the ultimate investment held by an investment fund which would not be included in the term "investment fund"; that ultimate investment may be a relevant entity and, if it is, would be subject to the ES Act if it is carrying on relevant activities. ¹	Yes No - Contact your Campbells attorney.
Named Entity's Role:	General Partner Ultimate General Partner Related Entity – Other (specify role below)
Name of Related Investment Fund³:	
Jurisdiction of formation of the Related Investment Fund: (ISO Alpha 2 character available here) (Enter KY for Cayman Islands)	
The CIMA, FI and/or GIIN information provided below belongs to the Related Investment Fund.	Yes No If the CIMA, FI and/or GIIN number belongs to a Related Investment Fund , please provide this information in the relevant fields in Part A above. N/A
CIMA Reference Number⁴ (Available here Enter N/A if not applicable):	
FI Number⁵ (enter N/A if not applicable):	
GIIN Number⁶ (enter N/A if not applicable):	
Go to Part C	
Part C	

¹ Cayman Islands Economic Substance Guidance V3.1, 30 June 2021, page 9-10.

² The FI number is the unique identifying number for the Cayman Financial Institution used by the Department of International Tax Cooperation and other Competent Authorities for AEOI purposes.

³ Another entity classified as an Investment Fund that directly or indirectly invests or operates through the Named Entity.

⁴ If the Named Entity is an Investment Fund Related Entity, enter the CIMA Reference Number of the related Investment Fund.

⁵ If the Named Entity is an Investment Fund Related Entity, enter the FI number of the related Investment Fund.

⁶ If the Named Entity does not have a GIIN number, enter the GIIN number of the related Investment Fund (if applicable).

(C) Investment Fund Business Type⁷: (Check one)	Money Services Mutual Fund – Administered Mutual Fund – Licensed Mutual Fund – Limited Investor Mutual Fund – Master Fund Mutual Fund – Registered Mutual Fund Administrator - Full Mutual Fund Administrator - Restricted Private Fund Investment Fund - Other ⁸
Please update your Campbells contact details: No Change	
Billing Contact at the Named Entity: Same of Principal Contact	
Name:	
Role:	
Phone:	
Email:	
Billing Contact (Other) at the Named Entity:	
Name:	
Role:	
Phone:	
Email:	
Principal Contact at the Named Entity: <div style="display: flex; justify-content: space-around; margin-bottom: 5px;"> Legal Matters Regulatory Matters </div>	
Name:	
Role:	
Phone:	
Email:	
Authorised Contact 2 at the Named Entity: <div style="display: flex; justify-content: space-around; margin-bottom: 5px;"> Legal Matters Regulatory Matters </div>	
Name:	
Role:	
Phone:	
Email:	
Completed by (Type name of person completing this form. A signed copy is NOT required. Do not scan.):	
Office held (if no office, enter Authorised Signatory):	
Email:	
Date (yyyymmdd):	

⁷ If the Named Entity is an Investment Fund Related Entity, select the business type of the related Investment Fund.

⁸ If the Named Entity meets the Cayman Islands Economic Substance Act definition of Investment Fund, but it is not registered with CIMA, select Investment Fund – Other.