

## How to Submit Clause Based Documents

1. When an applicant has completed Section 1 (Information) of the Application, then can then proceed to submission of the clause based documents. The Application Summary below displays the necessary clause based documents, together with a checklist of associated clauses that must be included in the submission.

Home > Funds > C-130419 Qualifying Investor AIF (QI) > Application Summary



Case status: Fund Application in Progress CNumber: 130419 Case

The following field sections are required to complete the submission to CBI. These sections and the questions contained in these sections are determined by the answers provided in the Application Structure section  
 \* Information Section must be completed

Section Reference	Section	Status	Help	Checklist
(i)	Structure	Valid		
1	Information	Valid		
2	Prospectus	Required		☑
3	Memorandum and Articles	Required		☑
3	Deed Of Constitution	Not Required		
3	Trust Deed	Not Required		
4	Depositary Agreement	Required		☑
5	AIF Management Company Agreement	Optional		☑
5	AIFM Agreement	Required		☑
5	Investment Management Agreement	Required		☑
5	Administration/Transfer Agent Agreement	Not Required		
6	Distribution / Paying Agent / Representative Agent Agreement	Not Required		
7	Investment through Subsidiaries	Not Required		
8	Sub Fund (1 per sub fund)	Not Required		
9	Investment Limited Partnership Agreement	Not Required		
	Supplementary Documents	Required		
	PCF Directors	Valid		

Back Submit

2. In order to submit a clause based document the user should first ensure that the required document contains all the necessary clauses as outlined in the checklist. In this example the Prospectus is the chosen document – hitting the Prospectus checklist icon opens a new window with all the Prospectus clauses included for guidance. All the clauses marked as ‘required’ must be included in the uploaded Prospectus document

[Logout](#) | [Change Password](#)  
**Hello! Paul Richardson**  
Last Login: 24-04-2016 15:22:29  
 Institution Name: LK Shields Solicitors

Check List Data

Comment Tag	Comment Description	Required or Conditional
<b>2.1</b>	<b>Information concerning the Qualifying Investor AIF</b>	
2.1.1	Name	Required
2.1.2	Form in law (must be stated on cover page)	Required
2.1.2.1	Investment Company with Variable Capital	Conditional
2.1.2.2	Unit Trust	Conditional
2.1.2.3	ILP	Conditional
2.1.2.4	CCF	Conditional
2.1.3	Investment Company:	Required
2.1.3.1	Registered Office	Required
2.1.3.2	Head office (if different from registered office)	
2.1.3.3	Names and positions of the directors	Required

- Below is the first page of a marked up Prospectus document with all of the required clauses included



In the above example two required clauses have been inserted in the Prospectus document.

- Then when all the required clauses have been included in the document and it is ready for upload to the ORION system, hit the 'required' button under the status column, alongside the relevant document. In this example, the Prospectus is the chosen document

Home > Funds > C-130419 Qualifying Investor AIF (QI) > Application Summary > Case status: Fund Application in Progress CNumber:130419 Case II

The following field sections are required to complete the submission to CBL. These sections and the questions contained in these sections are determined by the answers provided in the Application Structure section  
\* Information Section must be completed

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1	Information	Valid		
2	Prospectus	Required		☑
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3	Deed Of Constitution	Not Required		
3	Trust Deed	Not Required		
4	Depositary Agreement	Required		☑
5	AIF Management Company Agreement	Optional		☑
5	AIFM Agreement	Required		☑
5	Investment Management Agreement	Required		☑
5	Administration/Transfer Agent Agreement	Not Required		
6	Distribution / Paying Agent / Representative Agent Agreement	Not Required		
7	Investment through Subsidiaries	Not Required		
8	Sub Fund (1 per sub fund)	Not Required		
9	Investment Limited Partnership Agreement	Not Required		
	Supplementary Documents	Required		
	PCF Directors	Valid		

Back Submit

- The user is then taken to a document upload page, where the user can browse for the relevant document using the 'Browse' button, and then upload the selected document using the 'Submit' button

Home > Funds > C-130419 Qualifying Investor AIF (QI) > Application Summary > Document Upload

Case status: Fund Application in Progress CNumber: 130419 Case ID: 1242

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- Funds Service Provider (0)
- Insurance Intermediaries (0)

Messages (40)

User Manual

Do you need help?

Contact Us

File Location

Document Type

Document Name

6. Once the document has been uploaded successfully, the user is returned to the Application Summary page where the Status of the relevant document (in this example, Prospectus) should read 'Valid' if all of the required clauses have been included in the document. Where a clause is missing then the status will state 'invalid' and missing clauses will be highlighted by hitting this button.

Home > Funds > C-130419 Qualifying Investor AIF (QI) > Application Summary

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\* Information Section must be completed

Section Reference	Section	Status	Help	Checklist
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1	Information	Valid		
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3	Deed Of Constitution	Not Required		
3	Trust Deed	Not Required		
4	Depository Agreement	Required		
5	AIF Management Company Agreement	Optional		
5	AIFM Agreement	Required		
5	Investment Management Agreement	Required		
5	Administration/Transfer Agent Agreement	Not Required		
6	Distribution / Paying Agent / Representative Agent Agreement	Not Required		
7	Investment through Subsidiaries	Not Required		
8	Sub Fund (1 per sub fund)	Not Required		
9	Investment Limited Partnership Agreement	Not Required		
	Supplementary Documents	Required		
	PCF Directors	Valid		

7. A document can be uploaded a number of times by repeating the above steps. However, note that only the most recent uploaded document is retained on ORION