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| Date received |  |
| For official use |  |

 

**APPLICATION IN RESPECT OF A PROPOSED LICENSEE SERVICING A QUALIFYING INVESTOR FUND OR A REGISTERED COLLECTIVE INVESTMENT SCHEME**

Form FTL should be submitted together with all supporting documentation, where applicable, to:

Authorisations

Guernsey Financial Services Commission

PO Box 128, Glategny Court, Glategny Esplanade, St Peter Port, Guernsey, GY1 3HQ

Telephone: 712706 International Dialling Code: 44 1481

E-mail: authorisations@gfsc.gg Internet: [www.gfsc.gg](http://www.gfsc.gg)

(Any supporting documentation may be submitted electronically)

|  |  |
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| Name of Applicant for a Licence |       |

Confirmations by the Proposed Administrator of the Applicant for a Licence-

* I confirm that we, the proposed administrator of the applicant for a licence, have performed sufficient due diligence to be satisfied that the beneficial owners or controllers of, and relevant parties to, the applicant for a licence are fit and proper and meet the requirements of Schedule 4 to the Protection of Investors (Bailiwick of Guernsey) Law, 1987 as amended and that in this respect consideration has been given to all of the issues set out in the Guidance Document issued by the Commission dated October 2008, including the Appendix to such Guidance Document reflecting the provisions of the aforementioned Schedule 4;
* I confirm that we, the proposed administrator of the applicant for a licence, warrant that the application for a licence under the Protection of Investors (Bailiwick of Guernsey) Law, 1987 as amended, which includes Form RA/1 and supporting documentation and information, is complete and accurate and that we have undertaken sufficient due diligence to support such conclusion.
* I confirm that we, the proposed administrator of the applicant for a licence under The Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended, have performed sufficient due diligence to be satisfied that the information contained in the online Personal Questionnaires (“Form PQ”) and Online Appointment Forms, submitted via the Online Portal, are accurate and complete as set out in the Guidance Notes available from the website.
* I confirm that the information supplied is complete and correct to the best of my knowledge and belief at the time of submission and that there are no other facts material to the application of which the Commission should be aware.
* I am aware it is an offence, under The Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended in respect of which the Commission exercises its functions, to knowingly or recklessly provide the Commission with information, which is false or misleading in a material manner.

Documentation submitted

In support of the application the following documentation/information is enclosed with this form:

* Fully completed, signed Form RA/1 together with confirmation of fully completed and submitted Forms PQ and Appointment Forms (as required) in respect of controllers, directors and senior managers of the applicant (as appropriate);
	+ All documentation and information referred to in Form RA/1 in support of the licence application;
	+ Confirmation that the applicant has been incorporated or established (as appropriate);
	+ Documentary evidence such as bank statement and Board minutes supporting the applicant’s paid up share capital, together with the relevant directors’ confirmation in respect of the applicant’s financial resources provisions (as required under 2.2.4 of the Licensees (Capital Adequacy) Rules 2010.)
	+ A copy of the administrator’s due diligence supporting the warranties referred to above, together with the administrator’s documented assessment of the fitness and properness of the applicant for a licence, (See Note 1).
* The application fee required under the relevant fees regulations.

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| Signed |  |  Date  |       |
|  |  |  |  |
| Name and position(See Note 2) |       |
|  |  |  |  |
| Institution (Proposed administrator ) |       |
|  |  |
| Address |       |
| Telephone number |       |

**Notes**

Note 1: This documentation will not be returned to the administrator unless specifically requested.

Note 2: The form must be signed by a director, or in relation to an unincorporated body, any member of the committee or similar governing body, of the administrator.