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**APPLICATION BY AN ADMINISTRATOR/MANAGER/CUSTODIAN IN RESPECT OF A NON-GUERNSEY SCHEME**

NOTES ON COMPLETION OF FORM NGS 2016:

1. All questions on this Form NGS 2016 should be completed, forms received unsigned will be returned. State “not applicable” where a question does not apply; an explanation of this answer should be provided if an explanation is not immediately obvious from information given elsewhere on this form.
2. Where the answer to a question is unknown, or provisional, or is modified at a later stage in the application process, the applicant should recognise that this may cause delay to the consideration of the application.
3. If there is insufficient space on the form, please append additional sheet(s) and initial each sheet.
4. This form should be completed in block letters.
5. Form NGS 2016 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](mailto:authorisations@gfsc.gg) Internet: [www.gfsc.gg](http://www.gfsc.gg/)

(Any supporting documentation may be submitted electronically)

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Name of non-Guernsey scheme

Confirmation by the licensee appointed as the administrator/manager/custodian

* I confirm that the scheme is a non-Guernsey scheme as defined in the Licensees (Conduct of Business) (Non-Guernsey Schemes) Rules 1994.
* I confirm that no other licensee carries on or intends to carry on the restricted activities described in rule 2.01 of the Licensees (Conduct of Business) (Non-Guernsey Schemes) Rules 1994 in connection with the non-Guernsey scheme.

Documentation submitted

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

* the Scheme Particulars/Prospectus/Offering Document, or equivalent, of the non-Guernsey scheme;
* a copy of the agreement, or latest draft agreement relating to the proposed administration/management/custody to be provided by the licensee to the non-Guernsey scheme;
* details of any regulatory approval given by, or applied for from, the authorities in the country or territory in which the non-Guernsey scheme is, or is to be, incorporated or established; and
* the prescribed fee (preferably by BACS: see our website for current fees) to:

Bank: HSBC Guernsey Branch, Account Name: Guernsey Financial Services Commission,

Sort Code: 40-22-25, Account No.: 91460722, Payment Ref.: “Application Name”

Signed Date

Name and position

Institution

(Proposed administrator/manager/custodian)

Address

Telephone

**Document Disclosure Checklist – Non Guernsey Scheme**

The Commission would expect the following matters to be disclosed in any scheme particulars/prospectus/offering document, or equivalent.

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|  |  | Page ref | Official Use |
| Name of scheme |  |  |  |
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| Domicile of scheme |  |  |  |
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| The manager |  |  |  |
|  |  |  |  |
| The trustee/custodian |  |  |  |
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| The investment adviser |  |  |  |
|  |  |  |  |
| The administrator |  |  |  |
|  |  |  |  |
| The registrar |  |  |  |
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| The auditor |  |  |  |
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| The constitution and objectives of the scheme |  |  |  |
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| Investment policy and restrictions (including borrowing and investment restrictions) |  |  |  |
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| The characteristics of units/shares/interests in the scheme |  |  |  |
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| Valuation of property, charges and distributions |  |  |  |
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| The issue and redemption or repurchase of units/shares/interests in the scheme |  |  |  |
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| Reports and Accounts |  |  |  |
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| Meetings of holders |  |  |  |
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| Termination of the Scheme |  |  |  |
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| Risk Warnings |  |  |  |

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| 1. registered address of the scheme: |

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| 1. THE SCHEME’S REGULATORY STATUS: |

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| 1. what is the legal form of the scheme? |

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| 1. domicile of the scheme: |

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| 1. if an umbrella fund, pcc, icc or structure of limited partnerships (or equivalent), name all initial classes, cells or limited partnerships which the scheme will contain. a structure diagram should be appended. |
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| 1. promoter of the scheme: |
| registered address: |
| telephone number: |
| website: |

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| 1. give details of promoter’s current registration with any regulatory boDY TOGETHER WITH A COPY OF ITS LATEST AUDITED FINANCIAL STATEMENTS AND (IF THESE ARE MORE THAN SIX MONTHS OLD) ITS LATEST MANAGEMENT ACCOUNTS: |

1. **if the scheme is a company, state the full name , date and place of birth of all directors**

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| name | date of birth | place of birth |
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| 1. give brief details of the investment objectives and policy of the scheme (i.e. growth/income etc.) |
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| 1. give the generic description of the investment strategy of the scheme (e.g. equities, money market, hedge, venture capital or mezzanine finance) |
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| 1. in what classes of assets will the scheme primarily invest? |
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| 1. please give main sectors and / or geographical regions in which the scheme will invest: |
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