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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**

**The Form FTL and Form RA/1 should be submitted electronically together with a covering letter scheduling the associated documentation being submitted in support of this application to** **authorisations@gfsc.gg**

Prescribed fee: Send by BACS to:

Bank: HSBC Guernsey Branch

Address: 20-22 High Street, St Peter Port, Guernsey GY1 2LB

Sort code: 40-22-25

Account Number: 91460722

IBAN: GB53MIDL40222591460722

Swift: MIDLGGS1XXX

Account Name:  Guernsey Financial Services Commission

Reference: *“Applicant’s name”*

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| Name of Applicant for a Licence |       |

Declarations 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, confirm 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 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, we confirm that the following documentation/information is enclosed with this form or has already been submitted electronically:

* Fully completed, signed Form RA/1;
* Confirmation that online Personal Questionnaires and online Appointment Forms (as required) in respect of controllers, directors and senior managers of the applicant (as appropriate), have been submitted through the portal;
	+ 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 declarations 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 (See Note 3) |  |  Date  |       |
|  |  |  |  |
| Name and position(See Note 2) |       |
|  |  |  |  |
| Institution (Proposed administrator ) |       |
|  |  |
| Address |       |
| Telephone number |       |

**Notes**

### Note 1: The Data Protection (Bailiwick of Guernsey) Law, 2017

### For the purpose of the Data Protection (Bailiwick of Guernsey) Law, 2017 please note that any personal data provided to the Commission will be used by the Commission to discharge its regulatory activities and statutory functions. Further information, relating to the Commission’s Data Protection policy, can be located on the website at [www.gfsc.gg/data-protection](http://www.gfsc.gg/data-protection)

Note 2: This documentation will not be returned to the administrator unless specifically requested.

Note 3: 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.