

the protection of investors (bailiwick of guernsey) law, 2020 (“the law”)

NOTES ON COMPLETION OF FORM GGF1 2021:

1. This Form ggf1 2021 should be completed by a licensee seeking on behalf of a Scheme to use the description of Guernsey Green Fund using Route 1.
2. All questions on this Form GGF1 2021 must 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.
3. 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 notification.
4. If there is insufficient space on the form, please append additional sheet(s) and initial each sheet.
5. This form should be typed or completed in block letters.
6. Form GGF1 2021 should be submitted electronically together with all supporting documentation, where applicable, to: [authorisations@gfsc.gg](mailto: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”*

notification in respect of a route 1 guernsey green fund

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| --- |
| full name of the scheme and Commission reference number: |
| address: |

|  |
| --- |
| open or closed ended scheme? |

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| --- |
| authorised or registered? |

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| --- |
| name of designated administrator: |
| address: |

|  |
| --- |
| name of designated trustee or custodian (in respect of open-ended schemes): |
| address: |

|  |
| --- |
| Name of Nominated Firm for Investor CDD (see Note 1): |
| address: |

|  |  |
| --- | --- |
| **confirmation that the Scheme will be a Route 1 guernsey green fund** | **prospectus page ref** |
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|  |  |
| --- | --- |
| **which green criteria will be applied to the scheme?** | **prospectus page ref** |
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| --- | --- |
| **details of the investment objective and investment criteria of the scheme** | **prospectus page ref** |
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|  |  |
| --- | --- |
| **name & address of the third party certifier together with details of their expertise** | **prospectus page ref** |
|  |  |

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| confirmation as to whether the governing body of the scheme will incorporate environmental social & governance (“esg”) principles into its investment analysis and decision making processes |  | **PROSPECTUS PAGE REF** |
|  |  |  |

**DECLARATION – ROUTE 1**

* I hereby provide a copy of a certification provided by the third party certifier named above, an independent third party, that the prospectus disclosures and the investment criteria of the Scheme meets the notified green criteria as defined in The Guernsey Green Fund Rules and Guidance, 2021.
* I confirm that I have advised the third party certifier named above that it is an offence under the Protection of Investors (Bailiwick of Guernsey) Law, 2020 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.
* I confirm that we are satisfied that the third party certifier is independent from the Scheme and its associated parties and that to the best of our knowledge the third party certifier has adequate expertise to provide a reliable and accurate assessment of the Scheme’s ability to meet the green criteria as defined in The Guernsey Green Fund Rules and Guidance, 2021.
* I confirm that we are satisfied that the disclosures in the Scheme’s prospectus meet the requirements of The Guernsey Green Fund Rules and Guidance, 2021.
* 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 notification of which the Commission should be aware.

**documentation submitted**

In support of the application the following documentation/information accompanies this form (please tick):

|  |  |
| --- | --- |
| * The prescribed fee has been made by BACS payment to the Guernsey Financial Services Commission’s bank account; |  |
| * Final versions of the prospectus, offer document or equivalent, including the application form, subscription agreement or equivalent; and |  |
| * Copy of the certificate from a suitable third party that the prospectus meets the notified green criteria. |  |

**we support this notification and agree to the declaration made in this form**

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |
|  |  |  |  |
| Name and position  (See Note (a) below) |  | | |
|  |  |  |  |
| Institution & Commission reference number |  |  |  |
|  |  | | |
| Role in connection with the Scheme |  | | |
|  |  | | |
| Address |  | | |
| Telephone number |  | | |

**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)

**notes**

Note 1: The firm nominated for CDD in accordance with the provisions of section 4.8.1. of the Handbook on Countering Financial Crime and Terrorist Financing.

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