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| **APPLICATION IN RESPECT OF A PROPOSED LICENSEE SERVICING A QUALIFYING INVESTOR FUND OR A REGISTERED COLLECTIVE INVESTMENT SCHEME** |
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| **COMPLETION OF FORM FTL:**   * 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](mailto:authorisations@gfsc.gg). For large submissions please use Egress. The Form FTL and Form RA/1 will be processed in 10 days. * Online Personal Questionnaires and/or Online Appointment Forms (as applicable) should be submitted by individuals proposing to hold supervised roles in the Licensee. |

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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, 2020 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 November 2021.
* As part of the assessment of the promoter/manager we confirm we have complied with the requirement of Schedule 3 of the Handbook. (see Note 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, 2020, 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 legislation in respect of which the Commission exercises its statutory functions, to knowingly or recklessly provide the Commission with information which is false or misleading in a material particular.

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 2.1.1 of the Licensees (Capital Adequacy) Rules and Guidance, 2021
  + 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 2) |  | Date |  |
|  |  |  |  |
| Name and position  (See Note 3) |  | | |
|  |  |  |  |
| Institution  (Proposed administrator ) |  | | |
|  |  | | |
| Address |  | | |
| Telephone number |  | | |

**Notes**

### Note 1: This documentation will not be returned to the administrator unless specifically requested. The administrator may be subject to a post facto review by the Commission of its due diligence on the applicant

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.

### Note 3: 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 4: When assessing the fitness and propriety of a promoter and/or investment manager the Designated Administrator should also be cognisant of its obligations to risk assess its relationship with the promoter and the investment adviser (if different entities) and undertake customer due diligence in accordance with the relevant provisions in Schedule 3 to the Criminal Justice (Proceeds of Crime) Law (the “Proceeds of Crime Law”) and relevant chapters of the Handbook as determined by its risk assessment.