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| Reviewers: |  |
|  |  |
| CK2 No. |  |
| Scanned? | YES/NO |
| Date scanned |  |
|  |  |
| For official use |  |



The Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended

Section 28A. Notice

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| --- |
| name of individual/entity: |

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| --- |
| nature of notification (director, controller or partner): |

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| --- |
| name of institution of which the individual/entity intends becoming either a director, controller or partner: |

|  |
| --- |
| proposed date of appointment: |

|  |
| --- |
| in respect of controllers and partners proposed percentage of control: |

**Additional documentation to be submitted for a proposed controller which is a corporate entity**

* Details of the proposed controller’s authorisation by any regulatory authority, including membership number. If the proposed controller is not itself regulated, please give details of any regulatory approvals held by its principals.
* Details of the proposed controller’s main activities, including its operating history. Corporate literature may be provided to satisfy this question.
* Details of the ultimate beneficial ownership of the proposed controller, including the full name of any individual or entity with any interest of 15% or greater, who should complete a Form PQ if not known to the Commission. The name and address of any individual or entity with any interest of 5% or more but less than 15% should also be provided.
* If the proposed controller is part of a group, a complete structure diagram showing ultimate beneficial ownership, any intermediate or holding companies and any other companies in the group. Where not already explicit, details should be provided of the principal activities of these companies and the jurisdiction in which they are domiciled.
* If the proposed new controller is a corporate entity which is not known to us, the Commission will require the latest audited accounts and management accounts, if the year end is older than six months from the date of submission of the Form 28A.
* Forms PQ or PD for the directors of the proposed controller.

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**DECLARATION**

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 that the Guernsey Financial Services Commission should be aware.

I undertake to inform the Commission, without delay, of any material changes to the information supplied on this form.

I have read and understood the requirements of The Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended, in particular section 28A and schedule 4 - Minimum Criteria for Licensing.

With regard to this appointment I give you permission to contact the relevant licensee or administrator of that licensee.

**IMPORTANT NOTICE**

You should be aware, before signing this declaration, that 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.

|  |  |
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| **Signed** |  |
|  |  |
| **Date** |  |
|  |  |
| **Name (Block Letters)** |  |
|  |  |
| **Position (Block Letters)** |  |

**The Data Protection (Bailiwick of Guernsey) Law, 2001**

For the purpose of the Data Protection (Bailiwick of Guernsey) Law, 2001 please note that any personal data provided to the Commission will be used by the Commission to discharge its functions.