

For ADIA use only

# Abu Dhabi Investment Authority Form REC1

## Application for Recognised Member status

### Purpose of this form

This form must be submitted by any body corporate, partnership or unincorporated association wishing to apply to ADIA to be a Recognised Member as an Authorised Financial Service Provider (“AFSP”). Financial services covered are:

- Managing Assets
- Arranging Credits or Deals in Investments
- Advising on Financial Products or Credit
- Dealing in Investment as Agent
- Arranging Custody
- Providing Custody
- Fund Manager

**Contents**

<b>Section</b>	<b>Title</b>	<b>Summary of contents and who should complete the section</b>
1	General Information	<ul style="list-style-type: none"><li>• General information about the applicant and its home jurisdiction and addresses</li><li>• Details of the AFSP, services and products that the application relates to</li><li>• Details of any current exchange or clearing house memberships</li></ul>
2	Recognition status under REC	<ul style="list-style-type: none"><li>• Details of the applicant's relevant Financial Services Regulator</li></ul>
3	Payment of Fees	All application must be accompanied by payment of the relevant application fee.
4	Declarations	<ul style="list-style-type: none"><li>• Declaration made by applicant that information given in this application is correct and complete</li></ul>

**Notes for completing this form**

- The term “applicant” refers to the entity for which Recognised Member status is being sought.
- Defined terms are identified throughout this application form by the capitalisation of the initial letter of a word or phrase.
- Questions must be answered fully and the use of abbreviations or acronyms should be avoided or defined.
- Do not leave any questions blank. If a question is not applicable this should be indicated in the response section. Failure to answer questions or provide full responses may delay the progress of the application.
- Answers must be typed in electronic format and the form must be signed by a Director/Partner of the applicant or, in the event that, for example, the applicant has yet to be incorporated, the Director who will be authorised in due course to sign on behalf of the applicant.
- Applicants are reminded that any material changes to any information submitted in this application whilst it is under consideration by the ADIA must be immediately notified, and that failing to provide such information may lead to an offence under Article 66 of the Regulatory Law 2004 if it causes such information to be false, misleading or deceptive at the time that ADIA relies upon it.

## SECTION 1 - GENERAL INFORMATION

### About the applicant

1.1	Full name of applicant to be recognised	
1.2	Please give details of any trading name(s) (if different from the name in 1.1 above) which the applicant proposes to use for the purpose of, or in connection with, any business for which Recognised Member status is being sought	
1.3	Applicant's registered or head office in its home jurisdiction	
1.4	Applicant's place of business outside of the UAE from which its proposed AIFCA activities will take place, if different from the address in 1.3	
1.5	Main telephone number of address in 1.4 (incl. country and area codes)	
1.6	Main fax number of address in 1.4 (incl. country and area codes)	
1.7	Applicant's contact person for this application	
	Position/title	
	Correspondence address (if different from 1.3 above)	
	Telephone number	
	Mobile number	
	Fax number	

E-mail address

**1.8** Legal nature of applicant  
(e.g. Company, Partnership, LLP, etc)

**1.9** If applicable, please list any exchanges and clearing houses on which the applicant is currently carrying on one or more financial services.

## SECTION 2 - RECOGNITION STATUS UNDER REC RULE

2.1 Please provide details below of your Financial Services Regulator in your home jurisdiction:

Name of Financial Services Regulator	
Address of Financial Services Regulator	
Name of contact or supervisor at the primary Financial Services Regulator	
Telephone number of the above contact or supervisor	
Email of the above contact or supervisor	
Scope of permitted Financial Services	

2.2 If applicable, **please attach** a copy of the Licence or other evidence confirming the Licence has been issued and remains current. Attached:

2.3 If applicable, please provide the details below of any additional Financial Services Regulator which regulates the activities in relation to the Investments specified in question 1.11 not covered by the regulator in 2.1 above (where there are more than 1 please attach additional information on a separate sheet):

Name of additional Financial Services Regulator (if applicable)	
Address of Financial Services Regulator	
Name of contact or supervisor at the additional Financial Services Regulator	
Telephone number of the above contact or supervisor	
Email of the above contact or supervisor	
Scope of permitted Financial Services	

2.4 If applicable, **please attach** a copy of the additional Licence or other evidence confirming the Licence has been issued and remains current. N/A:  Attached:

### SECTION 3 - PAYMENT OF FEES

All applications must be accompanied by payment of the relevant application fee to the designated Processing Officer.

In respect of any fee payable in accordance with FER, the fee must be paid:

- (a) by the Person to whom the Rule applies;
- (b) in United States Dollars.

An application for Recognised Member status must pay an application fee of \$3,500

Please make the payment by Bank transfer free of charges to the account listed below. Cheques or Bank drafts cannot be accepted.

**Applications will not be processed until the full relevant fee is received by the Processing Officer.**

Account name	NATHANIEL OSUJI EMERENINI
Account number	3097-2179-701
IBAN	AE480440000030972179701
Bank details	STANDARD CHARTERED BANK Dubai, UAE
Swift code	SCBLAEADXXX
Reference to be quoted	ADIA Ancillary Service Provider Application fee – [applicant name]

**SECTION 4 - DECLARATIONS****4.1 Declaration by the applicant**

1. I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this application is complete and correct. I understand that it is an offence under Article 66 of the Regulatory Law 2004 to provide to ADIA any information which is false, misleading or deceptive or to conceal information where the concealment of such information is likely to mislead or deceive ADIA.
2. I agree to provide to ADIA more detailed information upon request where ADIA considers such information to be necessary to adequately assess this application. I consent to ADIA contacting any previous employers, educational institutions, professional organisations or any other organisation, to verify any information referred to.
3. I confirm that I have the authority to make this application, to declare as specified above and sign this form for, or on behalf of, the applicant. I also confirm that I have the authority to give any consent specified above, and if applicable.
4. For the purposes of complying with Data Protection Law 2007, I understand that any Personal Data provided to ADIA will be used to discharge its regulatory functions under the Regulatory Law 2004 and other relevant legislation and may be disclosed to third parties for those purposes.



Signature of Director/Partner of the applicant

Date

Name of Director/Partner of the applicant

Position/title

**Please return completed electronic version of this form to:**

ADNAN GHIAS  
AUTHORISATION OFFICER  
ABU DHABI INVESTMENT AUTHORITY  
Email: [adnan\\_adia@consultant.com](mailto:adnan_adia@consultant.com)

Applicants are required to produce the hard copy of completed forms and other related documents prior to meeting with ADIA.