

*(For ADIA use only)*

--

# **Abu Dhabi Investment Authority Form ASP1 Ancillary Service Provider Application for registration**

<b>Name of applicant</b>	
--------------------------	--

The appropriate forms and supplements must be submitted if you wish to carry on one or more Ancillary Services.

## **Purpose of this form**

This form must be submitted by a Person applying for registration to carry on one or more Ancillary Services for ADIA. An application must be submitted in relation to one or more of the Ancillary Services contained in section 2 question 2.1. In some cases, ADIA may require additional information in order to complete the processing of this application. If this is necessary, ADIA will contact the nominated contact identified in section 1.

## **Contents**

This form consists of seven sections:

1. Applicant details
2. Ancillary Services
3. Fit & proper questionnaire
4. Payment of Fees
5. Disclosure to AIFCA
6. Declaration
7. Attachments

## **Notes for completing this form**

- Defined terms are identified throughout this form by the capitalisation of the initial letter of a word or phrase.
- All sections must be completed.
- Questions must be fully answered and the use of abbreviations should be avoided.
- Do not leave any questions blank – if a question is not applicable this should be indicated in the response section.
- Answers must be typed and the form must be signed by a Director/Partner
- Please ensure any supporting documentation is clearly labelled and securely attached.

## 1. APPLICANT DETAILS

1.1	Full or proposed name of applicant to be registered	<input type="text"/>
1.2	Applicant's registered office address	<input type="text"/>
1.3	Applicant's head office if different from 1.2	<input type="text"/>
1.4	Main telephone number of address in 1.3 (incl. country and area codes)	<input type="text"/>
1.5	Main fax number of address in 1.3 (incl. country and area codes)	<input type="text"/>
1.6	Website address (if applicable)	<input type="text"/>
	Telephone/Fax number:	<input type="text"/>
	E-mail address	<input type="text"/>
1.7	Legal nature of applicant (e.g. Company, LLP, Partnership, etc)	<input type="text"/>
1.8	Date and place of incorporation /formation of the applicant	<input type="text"/>
1.9	Please advise the applicant's expected end of financial year date	<input type="text"/>

**1.10** Is the applicant currently, or has the applicant ever been, the subject of any government or regulatory investigation, received a fine or been involved or currently involved in disciplinary proceedings?

Yes  No

If "YES", please provide details below.

## 2. ANCILLARY SERVICES

### 2.1 Ancillary Services

2.1.1  Providing Investment Services

2.1.2  Providing Fund Administration

### 2.2 If applying for the activity 2.1.1 Providing Investment Services,

You will need to:

- identify all the Investment Services and any other activities you intend to carry on;
- identify all the likely business and regulatory risk factors;
- explain at high level how you will monitor and control these risks; and
- take into account any intended future developments.

Please remember that your description of investment opportunities is an important part of the overall application and integral to our decision making. The amount of detail submitted should be proportionate to the nature of the investment you intend to carry on, and should be appropriate to the risks.

### 2.3 Please provide a description of investment types you intend to carry on.

### 2.4 Providing Fund Administration

Provide a description of the proposed activities you will carry on while conducting the Fund Administration Service with reference to the activities set out below:

- processing dealing instructions including subscriptions, redemptions, stock transfers and arranging settlements;
- valuation of assets and performing net asset value calculations;
- maintaining the share register and Unit holder registration detail
- undertaking transaction monitoring and reconciliation functions;
- performing administrative activities in relation to banking, cash management, treasury and foreign exchange; and

A description of any other administrative functions or services proposed which are not captured by the above activities.

A description of the arrangements for the maintenance of records.

## 4. FIT & PROPER QUESTIONNAIRE

4.1 Please complete the following questionnaire  
**Answers must be provided to every question.**

<b>Has the applicant:</b>	Yes	No
(i) been convicted or found guilty by any court of competent jurisdiction in respect of any offence, other than a minor road traffic offence?	<input type="checkbox"/>	<input type="checkbox"/>
(ii) ever been the subject of disciplinary procedures by a government body or agency or any self Regulatory organisation or other professional body?	<input type="checkbox"/>	<input type="checkbox"/>
(iii) contravened any provision of Financial Services legislation or of Rules, Regulations, statements or principle or codes of practice made under or by a Financial Services Regulator or other supervisory body?	<input type="checkbox"/>	<input type="checkbox"/>
(iv) been refused or restricted the right to carry on a trade, business or profession requiring a licence, registration or other authority?	<input type="checkbox"/>	<input type="checkbox"/>
(v) been dismissed or requested to resign from any office of employment?	<input type="checkbox"/>	<input type="checkbox"/>
(vi) been concerned with the management of a Body Corporate which has been or is currently the subject of an investigation into a allegation of misconduct or malpractice?	<input type="checkbox"/>	<input type="checkbox"/>
(vii) received an adverse finding in a civil action by any court of competent jurisdiction of fraud, misfeasance, or other misconduct, whether in connection with the formation or management of a corporation or otherwise?	<input type="checkbox"/>	<input type="checkbox"/>
(viii) received an adverse finding in an agreed settlement in a civil action by any court or tribunal of competent jurisdiction resulting in an award against an individual in excess of \$10,000 or awards that total more than \$10,000?	<input type="checkbox"/>	<input type="checkbox"/>
(ix) been the subject of an order of disqualification as a Director or otherwise to act in the management or conduct of the affairs of a corporation by a Court of competent jurisdiction or Regulator?	<input type="checkbox"/>	<input type="checkbox"/>
(x) been a Director, or Partner or concerned in the management of a company or Partnership which has gone into insolvent liquidation whilst the individual was connected with that company, Partnership or within one year of such a connection?	<input type="checkbox"/>	<input type="checkbox"/>

- (xi) been the subject of complaint in connection with a Financial Service or Ancillary Service which relates to his integrity, competence or financial soundness?
- (xii) been censured, disciplined, publicly criticised by or the subject of a court order at the instigation of a Financial Services Regulator or any officially appointed inquiry?

**If you have answered Yes to any questions, please provide appropriate details of the matter below.**

## 5. 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 registration as Ancillary Service Provider must pay an application fee of \$8,500

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 – [ <i>applicant name</i> ]



## 6. Disclosure of information to the Abu-Dhabi International Financial Centre Authority (AIFCA)

The provision of certain information by the ADIA to the AIFCA under the following consent will assist ADIA in exercising its functions and powers. It is not mandatory to provide consent and should you not wish to provide consent.

I consent  / I do not consent  to disclosure of the following information by ADIA to AIFCA:

1. The fact of the filing of this application, together with the name of the applicant;
2. The fact (if applicable) that this application is still being reviewed by the ADIA; and
3. The outcome of this application. An outcome may include a decision by ADIA to approve this application, in principle or otherwise, or to reject the application or the withdrawal of the application.

## 7. DECLARATION

### 7.1 Declaration by the firm

- 7.1.1 I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this form 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.
- 7.1.2 I declare my understanding that ADIA may request more detailed information (including but not limited to, personal, educational, employment and financial information) should it be deemed necessary to adequately assess the fitness and propriety of the firm or any person connected to the firm. I consent to ADIA contacting any previous employers, educational institutions, professional organisations or any other organisation, to verify any information contained in this form.
- 7.1.3 I declare that the firm and its Employees are fit and proper to perform Ancillary Services.
- 7.1.4 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 the consent specified above.
- 7.1.6 For the purposes of complying with ADIA Data Protection Law 2007, I understand that any Personal Data provided to ADIA will be used to discharge its functions under the Regulatory Law 2004 and other relevant legislation.

Name of a Director/Partner

Signature of a Director/Partner

/ /

Date

## 8. ATTACHMENTS

Section	Document	Attached?
1.10	Investment Plan / Business Plan	<input type="checkbox"/>
<i>Other</i>	<i>Please list</i>	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

**.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