**FIRST SCHEDULE**

**(Regulation 3)**

**APPLICATION FORM**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **S. No.** | **Particulars** | | | **Details** | | |
| 1. **Category of Application** | | | | | | |
|  | 1. Application for Authorised Entity | | |  | | |
| 1. Application for Registered Entity (Non-Retail) | | |  | | |
| 1. Application for Registered Entity (Retail) | | |  | | |
| 1. **Details of the Applicant:** | | | | | | |
| **2.1** Initial Details of the applicant | | | | | | |
|  | 1. Name of the applicant | | |  | | |
|  | 1. Legal Form of the Applicant | | |  | | |
|  | 1. Corporate Identification Number (CIN), Limited Liability Partnership Identification Number (LLPIN) or identification number similar to CIN or LLPIN | | |  | | |
|  | 1. Date of Incorporation | | |  | | |
|  | 1. Address of office in IFSC | | |  | | |
|  | 1. Telephone number(s) | | |  | | |
|  | 1. E-mail address | | |  | | |
|  | 1. Name, Telephone number and Email address of Principal Officer and Compliance Officer | | |  | | |
| **2.2** In case of Branch | | | | | | |
|  | 1. Address of Registered Office | | |  | | |
|  | 1. Telephone number(s) | | |  | | |
|  | 1. E-mail address | | |  | | |
|  | 1. Name, Telephone number and Email address of CEO or Designated Partners | | |  | | |
| **2.3** | Brief Business profile of the Applicant   1. Details of Business activities 2. Details of Experience in Fund Management (including no. of investors served, AUM managed, etc.) 3. Place of Presence 4. Founding Persons 5. Details of listing, if any | | |  | | |
| **2.4** | Details of Registrations with IFSCA / Financial Sectoral Regulators in India or Foreign Jurisdictions, if any  (Category of Registration, Registration number, Date of Registration and Validity, Details for applicant / controlling shareholders) | | |  | | |
| **2.5** | Details of SEZ Approval | | |  | | |
| **2.6** | Details of the Business Activities of Associate entities in IFSC, If any | | |  | | |
| **2.7** | Details of infrastructure in IFSC for conducting activities as FME | | |  | | |
| 1. **Financial Information (As per last Audited Financial Statement)** | | | | | | |
| **3.1** | **Period of Financial Year** | | |  | | |
| 1. Net Worth as on latest Financial Year | | |  | | |
| 1. Total Revenue | | |  | | |
| 1. Profit from Operations | | |  | | |
| **3.2** | **Details of Shareholding and Capital Structure** | | |  | | |
| 1. Authorized Capital | | |  | | |
| 1. Paid up Capital / Partners Capital contribution | | |  | | |
| 1. Details of the Shareholding or partnership structure | | |  | | |
| 1. Details of the latest Shareholder(s) / partners holding 5% & above share / Partners Capital/ Person’s in Control 2. Name 3. PAN 4. No. of Shares 5. Address 6. % of Shareholding | | |  | | |
| **3.3** | Currency in which Account to be maintained by the applicant | | |  | | |
| 1. **Business Plan** | | | | | | |
| 4.1 | Detailed Business Plan for various activities in IFSC under FME:   1. Overall Business Plan 2. Details of activities over Short, Medium and Long Term 3. Target Investors 4. Details for ring-fencing operations, in case of branch | | |  | | |
| 1. **Detail of Controlling Shareholders /** Designated Partners /**Partners / Directors and Key Executives** | | | | | | |
| **5.1** | **Details of the Controlling Shareholders / Directors / CEO / Partners & Designate partners\*** | | |  | | |
|  | Particulars | **1** | **2** | | **3** | |
| 1. Name |  |  | |  | |
| 1. Designation/ Legal form in case of Company/ LLP |  |  | |  | |
| 1. DIN/ DPIN/ Registration No. |  |  | |  | |
| 1. PAN |  |  | |  | |
| 1. Communication Address |  |  | |  | |
| 1. Email |  |  | |  | |
| 1. % of Shareholding in the applicant |  |  | |  | |
| 1. Shareholding Pattern & Details of Shareholders (Top 5) |  |  | |  | |
| 1. Is the person from FATF Compliant jurisdiction? |  |  | |  | |
| 1. Brief Profile: |  |  | |  | |
| **5.2** | **Details of Key Executives for IFSC Office** | | | **1** | | **2** |
| 1. Name | | |  | |  |
| 1. Designation | | |  | |  |
| 1. DIN/ DPIN | | |  | |  |
| 1. PAN | | |  | |  |
| 1. Date of Appointment | | |  | |  |
| 1. Communication Address | | |  | |  |
| 1. Email | | |  | |  |
| 1. Mobile and Landline number | | |  | |  |
| 1. Detailed Education Qualification & Certifications | | |  | |  |
| 1. Detailed Experience | | |  | |  |
| 1. **Details of Regulatory Actions** | | | | | | |
| 6.1 | Details of Regulatory Actions  (Material action against the applicant, Board of Directors, CEO, Key Managerial Personnel or Controlling shareholders) | | |  | | |
| 6.2 | Whether the Applicant or its Directors or Partners / controlling shareholders has/ have been refused a certificate by the IFSCA or any other regulatory authority or its/ their certificate has been suspended at any time prior to this application. (If Yes, provide details. If No, enclose a declaration to that effect). | | |  | | |
| 6.3 | Court Cases or Litigations involving the applicant or its person in control in last 3 years | | |  | | |
| 1. **Confirmations & Declarations**   A Declaration cum undertaking containing following details on the letter head of the applicant stating that:   1. We hereby declare that the information supplied in the application, including the attachment sheets, is complete and true. 2. The activities proposed in the IFSC are in line with the object clause. 3. The applicant and its principal officers, directors/ partners/ designated partners, key managerial personnel and controlling shareholders are fit and proper persons. 4. We shall ringfence the operations of branch from other operations of the applicant (applicable in case of branch) 5. We shall notify IFSCA immediately of any material change in the information provided in the application. 6. We shall ensure that the key activities of Investment decision, portfolio management and grievance handling shall be undertaken from IFSC. 7. We further undertake to comply with, and be bound by the International Financial Services Centres Authority Act, 2019, and the regulations, circulars, guidelines and instructions thereunder as issued by IFSCA from time to time. 8. We further agree that as a condition of registration, we shall at all times abide by such operational instructions/directives as may be issued by the IFSCA from time to time. 9. We shall, to the satisfaction of IFSCA, furnish any other information as may be sought by IFSCA.   For and on behalf of (Please insert name of the applicant)  Authorised signatory  (Name)(Signature)  Date:  Place: | | | | | | |
| **Documents to be annexed with the application**   1. Copy of the Certificate of Incorporation /Registration document of the Applicant. 2. Latest Memorandum and Articles of Association / limited liability partnership agreement of the Applicant as may be applicable 3. Last 3 years audited consolidated/ standalone financial statements of the Applicant 4. Net-worth certificate by an Auditor 5. Detailed CV of the principal officer 6. Copy of authorisation for application by an authorized representative 7. KYC Details - PAN & Address proof of directors / person (s) in control/ KMP’s and Employees in IFSC 8. Tax Identification Document of the applicant 9. Copy of SEZ approval 10. Copy of the proof of payment for the application fees paid 11. Declaration on the letter head of the company duly signed by the authorized signatory. | | | | | | |
| **Date Signature  Place (Name and Designation)** | | | | | | |