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| MALTA FINANCIAL SERVICES AUTHORITY |  |
| **Authorisation Forms** |
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| **Form AA30: Crowdfunding Service Providers Application Form** |
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| **High Level Guidelines** |
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| 1. **General**   This form, Form **AA30:** **Crowdfunding Service Providers** **Application Form** (‘Application’), shall be duly filled in by the persons wishing to obtain authorisation under Chapter III of the Regulation.  In this respect, the Applicant shall to the best of its knowledge, provide information, which is truthful, accurate and complete. The Applicant shall notify the MFSA immediately if the information provided changes in any respect either prior to or subsequent to authorisation.  The Applicant shall note that penalties may be imposed, under Article39 of the Regulation, when furnishing information or making a statement which one knows to be inaccurate, false or misleading in any material respect, or when recklessly furnishing information or making a statement which is inaccurate, false or misleading in any material respect, pursuant to any of the provisions of this Regulation or of any Regulations made or of any Rules issued thereunder, or any condition, obligation, requirement, directive or order made or given as aforesaid.  The Applicant is required to make reference, and where applicable comply with the Regulations made, or Rules issued thereunder during the completion of the Application. The Applicant shall also refer to the respective National and/or European Regulatory Frameworks or other binding regulation as may be applicable.  The Applicant shall not tamper with, or modify in any manner, this Application or its respective Annexes. Should it transpire that the documents were tampered with, or modified in any manner, the Authority shall consider the Application to be invalid. Any potential improvements should be communicated to the MFSA for consideration.  The Authority may at its sole discretion request from the Applicant further information/ documentation. The Applicant shall note that, as per Article 12(9) of the Regulation, any information provided by the Applicant may be shared with ESMA after the Authorisation process.   1. **Definitions**   For the purposes of this Application, the definitions identified below should be read in conjunction with the provisions of the Act and other respective national or European regulatory frameworks or other binding regulation as may be applicable.  In the event that any of the definitions contained hereunder conflict with a definition under the Act, the definitions set out in the Act or in any other such law shall prevail, unless otherwise specified herein.   |  |  |  | | --- | --- | --- | |  |  |  | | **‘Regulation’** | | means the Regulation (EU) 2020/1503 of the European Parliament and of the Council of 7 October 2020 on European crowdfunding service providers for business, and amending Regulation (EU) 2017/1129 and Directive (EU) 2019/1937. | |  | |  | | **‘Acting in Concert’** | | shall for the purpose of this Application, mean a situation in which two or more persons agree, collaborate, cooperate or engage in activities on matters of corporate governance | |  | |  | | **‘Applicant’** | | means any company desirous of commencing the business of crowd funding service provider in Malta and applying for a license in accordance with the MFSA Act (European Crowdfunding Service Provider for Business) Regulations, 2021 Legal Notice | |  | |  | | **‘Authorisation’** | | shall for the purpose of this Application, mean a license of a crowd funding service provider under the Act | |  | |  | | **‘Authority’** | | means the Malta Financial Services Authority established by the Malta Financial Services Authority Act (Chapter 330 of the Laws of Malta) | |  | |  | | **‘Close Links’** | | shall have the same meaning as that assigned to it in the Regulation | |  | |  | | **‘Formed’** | | shall for the purpose of this Application, mean a company that has already been incorporated with the Malta Business Registry | |  | |  | | **‘Key Function Holder’** | | shall for the purpose of this Application, mean a person who has significant influence over the direction of the Applicant but who is not a director sitting on the board of directors and is not the Chief Executive Officer. This includes the heads of internal control functions and the Chief Financial Officer, where they are not directors sitting on the board of directors, and, where identified on a risk-based approach by the Applicant, other key function holders. Other key function holders might include heads of significant business lines, European Economic Area/European Free Trade Association branches, third country subsidiaries and other internal functions | |  | |  | | **‘Primary Business Address’** | | shall for the purpose of this Application, mean the Applicant’s head office / operational address | |  | |  | | **‘Qualifying Shareholder’** | | shall have the same meaning as that assigned to ‘qualifying shareholding’ in the Regulation | |  | |  | | **‘Regulatory framework’** | | means the respective National and/or European Regulatory Frameworks or other binding regulation, as may be applicable | |  | |  | | **‘Shareholder’** | | shall for the purpose of this Application, mean a person entered in the register of members of a company pursuant to Article 123 of the Companies Act (Chapter 386 of the Laws of Malta) | |  | |  |  1. **Instructions**   The Applicant is required to complete all the respective sections under all the three parts of the Application, as follows:   * Part 1 – Applicant Details * Part 2 – Activity & Method of Operations * Part 3 – Declaration Form   Applicants are to note that further instructions in relation to the Application may be found on the Guidelines to the Authorisation Forms ([link](https://www.mfsa.mt/wp-content/uploads/2021/05/AG01-Applications-Guidelines.pdf)). It is noted that the Application should reflect the Applicant’s structure and method of operations at time of authorisation.  Following submission of the Application via the LH Portal, the Declaration Form (Part 3 of this Application) should be printed and sent, originally signed, to the Authority. In the printed Declaration Form, the Applicant is reminded to enter the Application ID, which is provided automatically through the LH Portal upon on-line submission of the Application. It is to be noted that only this Declaration Form should be sent physically to the Authority. Further instructions can be found in the Declaration Form itself.  In order for the Application to be considered complete, the Applicant is required to have submitted, along with a duly filled Application, all the required documentation as identified within this Application   1. **Privacy Notice**   The MFSA ensures that any processing of personal data is conducted in accordance with Regulation (EU) 2016/679 (General Data Protection Regulation), the Data Protection Act (Chapter 586 of the Laws of Malta) and any other relevant European Union and national law. For further details, you may refer to the MFSA Privacy Notice available on the MFSA webpage <https://www.mfsa.mt/privacy-notice/>.   1. **Disclaimer**   It is noted that the submission of this Application and/or its determination of ‘completeness’ shall not be construed as a granting of Authorisation by the MFSA. Furthermore, the Applicant is referred to Article 4(A) of the MFSA Act, wherein the granting of an Authorisation is a concession and a revocable privilege, and no holder thereof shall be deemed to have acquired any vested rights therein or thereunder. |

| **PART 1**   1. Applicant Details | | | | | |
| --- | --- | --- | --- | --- | --- |
|  | **Applicant Person Type**  *Legal person* | | | | |
|  | Person Type | Select item |  | If ‘*Other Legal Form*’:  Specify Form | Enter text |
|  | Applicant | | | | |
|  | Full legal name | | Enter text | | |
|  | Trading name(s) | | Enter text | | |
|  | Website address | | Enter text | | |
|  | National ID/Registration number (where available) | | Enter text | | |
|  | LEI (where available) | | Enter text | | |
|  | **Address** | | | | |
|  | Number/  Name | Enter text |  | Street/Road | Enter text |
|  | City/Town/  Village | Enter text |  | Region/State  *(if applicable)* | Enter text |
|  | Post Code | Enter text |  | Country | Select country |
|  | **Representative**  *Details of the person in charge of the application* | | | | |
|  | Name | Enter text |  | Surname | Enter text |
|  | Telephone number | Enter text |  | Email address | Enter text |
|  | Function | Enter text |
|  | **Address** | | | | |
|  | Number/  Name | Enter text |  | Street/Road | Enter text |
|  | City/Town/  Village | Enter text |  | Region/State  *(if applicable)* | Enter text |
|  | Post Code | Enter text |  | Country | Select country |

| **PART 2**  Section 1 - Activity & Method of Operations | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Articles of association** | | | | | | | |
|  | Articles of association and, where available, deed of incorporation | | Enter text | | | | |
|  | **Programme of operations setting out the types of crowdfunding services that the applicant intends to provide and the crowdfunding platform that it intends to operate, including where and how crowdfunding offers are to be marketed** | | | | | | | |
|  | **Information on the types of crowdfunding services**  *The Applicant shall indicate:* | | | | | | | |
|  | (a) The crowdfunding services that the applicant intends to provide (cross as appropriate): | | Select item | | | | | |
|  | (b) (Where the applicant provides or intends to provide facilitation of granting of loans) Whether the applicant intends to provide individual portfolio management of loans including a description of the internal arrangements for the provision of such activity and a description of the contractual arrangements that the applicant will establish with project owners and with investors (with particular reference to the mandates that investors will give to the applicant) | | Enter text | | | | | |
|  | (c) Other services or activities that the prospective crowdfunding service provider intends to provide (cross as appropriate): | | Select item | | | | | |
|  | (d) The types of offers that the applicant plans to present (such as loan-based projects, equity-based projects, the type of sector or business activity, the type of investments to be offered on the crowdfunding platform, and types of investors targeted ) | | Enter text | | | | | |
|  | (e) The selection procedure setting out the details of the methods adopted to select the offers to be presented on the crowdfunding platform, including the nature and the extent of the due diligence undertaken in respect of project owners | | Enter text | | | | | |
|  | (f) The arrangements to make public the offers on the crowdfunding platform and how the interests of investors for a crowdfunding project will be communicated to the relevant project owner | | Enter text | | | | | |
|  | (g) Any other services/activities currently (or intended to be) provided by the applicant not covered by Regulation (EU) 2020/1503 that may be provided according to Union or national law including references to and a copy of the relevant authorisations (where applicable) | | Enter text | | | | | |
|  | **Information on the crowdfunding platform**  *Description of:* | | | | | | | |
|  | (a) the arrangements to make the information referred to in Article 19 of Regulation (EU) 2020/1503 available on the website of the applicant’s crowdfunding platform, including relevant IT arrangements | | Enter text | | | | | |
|  | (b) the arrangements to make the crowdfunding platform an internet -based information system, publicly accessible and without discriminatory access | | Enter text | | | | | |
|  | (c) the procedures and arrangements for the prompt, fair and expeditious provision of the crowdfunding services, including the description of: the procedures for the reception and transmission of client orders; the systems for processing such orders; and how these procedures and arrangements allow for the reception and transmission and execution of the client orders on an equal basis. | | Enter text | | | | | |
|  | (d) mechanisms that the applicant plans to implement to facilitate the information flows between the project owner and the investors, or between the investors, if applicable | | Enter text | | | | | |
|  | **Marketing strategy** | | | | | | | |
|  | Description of the marketing strategy that the prospective crowdfunding service provider plans to use in the Union, including languages of the marketing communications; identification of the Member States where advertisements will be most visible in media and the expected means of communication that will be used | | Enter text | | | | | |
|  | **Description of the governance arrangements and internal control mechanism to ensure compliance with Regulation (EU) 2020/1503, including risk management and accounting procedures** | | | | | | | |
|  | **Governance arrangements**  *Description of:* | | | | | | | |
|  | (a) The internal structure of the applicant (organisational chart, etc.) with indication of the distribution of the tasks and powers and the relevant reporting lines, the control arrangements implemented and any other useful information to illustrate the applicant’s operational features, policies and procedures to ensure effective and prudent management | | Enter text | | | | | |
|  | (b) The staff-recruitment plan, if any, for the next three years and the relative state of implementation, or indication of the personnel in office to be used for carrying out the services | | Enter text | | | | | |
|  | **Internal control mechanisms** | | | | | | | |
|  | Description of the internal control mechanism (such as compliance function and risk management function, where established) put in place by the applicant, in order to monitor and to ensure compliance of its procedures to the Regulation (EU) No 2020/1503, including information on reporting to the management body | | Enter text | | | | |
|  | **Risk management** | | | | | | | |
|  | A mapping of the risks identified by the applicant and a description of risk management policies and procedures to identify, manage and monitor risks related to applicant’s activities, processes and systems, including: | | Enter text | | | | |
|  | (a) description of the internal processes and methodologies referred to in Article 6 (2) of Regulation (EU) 2020/1503 (where applicable) | | Enter text | | | | |
|  | (b) description of the policy of the contingency fund referred to in Article 6 (5)(b) of Regulation (EU) 2020/1503 (where applicable) | | Enter text | | | | |
|  | **Accounting procedures** | | | | | | | |
|  | Description of the accounting procedures by which the applicant will record and report its financial information | | Enter text | | | | |
|  | **Description of systems, resources and procedures for the control and safeguarding of the data processing system** | | | | | | | |
|  | **Safeguarding of data processing system**  *Description of:* | | | | | | | |
|  | (a) The internal arrangements adopted to ensure the proper handling of the personal data and information received from investors, including the use of clouds | | Enter text | | | | |
|  | (b) the policy for fraud prevention and privacy/data protection | | Enter text | | | | |
|  | (c) the locations, methods and policies for documentation archiving, including the use of clouds | | Enter text | | | | |
|  | **Description of operational risks** | | | | | | | |
|  | **Risks related to the IT infrastructure and procedures** | | | | | | | |
|  | Description of the identified sources of operational risks and description of procedures, systems and controls adopted by the applicant to manage those operational risks (system reliability, security, integrity, privacy, etc.), including: | | Enter text | | | | |
|  | (a) procedures to avoid operational interruptions | | Enter text | | | | |
|  | (b) back-up devices in place | | Enter text | | | | |
|  | (c) measures on safeguards against hackers' attacks | | Enter text | | | | |
|  | **Risk related to the determination of the offer** | | | | | | | |
|  | Description of the technical tools and human resources dedicated to the offer determination, in particular the determination of the pricing in accordance with Article 4(4)(d) of Regulation (EU) 2020/1503 | | Enter text | | | | |
|  | **Risks related to the asset safekeeping services and to the payment services (where applicable)** | | | | | | | |
|  | Where the applicant intends to provide asset safekeeping services and payment services, description of the identified sources of operational risks and description of procedures, systems and controls adopted by the applicant to manage those risks related to those services, including when those services are provided by a third party | | Enter text | | | | |
|  | **Risks relating to outsourcing of operational functions** | | | | | | | |
|  | Where the applicant intends to rely on a third party for the performance of operational functions, description of the identified sources of operational risks and description of procedures, systems and controls adopted by the applicant to manage those operational risks | | Enter text | | | | |
|  | **Any other operational risk(s) (where applicable)** | | | | | | | |
|  | Description of any other identified source(s) of operational risks and description of the procedures, systems and controls adopted by the applicant to manage those operational risks | | Enter text | | | | |
|  | **Description of the applicant’s prudential safeguards in accordance with Article 11 of Regulation (EU) 2020/1503** | | | | | | | |
|  | **Prudential safeguards** | | | | | | | |
|  | The amount of the prudential safeguards that the applicant has in place at the time of the application for authorisation and the description of the assumptions used for its determination | | Enter text | | | | |
|  | **Own funds (where applicable)** | | | | | | | |
|  | The amount of the prudential safeguards covered by own funds referred to in Article 11(2)(a) of Regulation (EU) No 2020/1503 | | Enter text | | | | |
|  | **Insurance policy (where applicable)** | | | | | | | |
|  | The amount of the applicant’s prudential safeguards covered by an insurance policy as referred to in Article 11(2)(b) of Regulation (EU) 2020/1503 | | Enter text | | | | |
|  | **Forecast calculations and plans** | | | | | | | |
|  | (a) Forecast calculation of the applicant’s prudential safeguards for the first three business years | | Enter text | | | | |
|  | (b) Forecast accounting plans for the first three business years, including (i) forecast balance sheets (ii) forecast profit and loss accounts or income statements | | Enter text | | | | |
|  | (c) Planning assumptions for the above forecast as well as explanations of the figures | | Enter text | | | | |
|  | **Prudential safeguards planning** | | | | | | | |
|  | Description of the applicant’s prudential safeguards planning and monitoring procedures | | Enter text | | | | |
|  | **Proof that the applicant meets the prudential safeguards in accordance with Article 11 of Regulation (EU) 2020/1503** | | | | | | | |
|  | **Own funds** | | | | | | | |
|  | (a) Documentation of how the applicant has calculated the amount in a way that is compliant with Article 11 of Regulation (EU) No 2020/1503 | | Enter text | | | | |
|  | (b) For existing undertakings, an audited account statement or public register certifying the amount of own funds of the applicant | | Enter text | | | | |
|  | (c) For undertakings in the process of being incorporated, a bank statement issued by a bank certifying that the funds are deposited in the applicant’s bank account | | Enter text | | | | |
|  | **Insurance policy** | | | | | | | |
|  | (a) Copy of the subscribed insurance policy incorporating all the elements necessary to comply with Article 11(6) and (7) of Regulation (EU) 2020/1503, where available, or | | Enter text | | | | |
|  | (b) Copy of the preliminary insurance agreement incorporating all the elements necessary to comply with Article 11(6) and (7) of Regulation (EU) 2020/1503 signed by an undertaking authorised to provide insurance in accordance with Union law or national law | | Enter text | | | | |
|  | **Description of the business continuity plan** | | | | | | | |
|  | **Business continuity plan** | | | | | | | |
|  | Description of the measures and procedures to ensure, in the event of failure of the prospective crowdfunding service provider, the continuity of the provision of critical services related to existing investments and sound administration of agreements between the prospective crowdfunding service provider and its clients, including, where applicable, provisions for the continued servicing of outstanding loans, client notification and handover of asset safekeeping arrangements | | Enter text | | | | |
|  | **Proof of good repute of shareholders who/which directly or indirectly hold 20% or more of the share capital or voting rights**  *This section shall be repeated and completed for each of the shareholders who directly or indirectly hold 20% or more of the share capital or voting rights*  *Where the shareholder holding 20% or more of the share capital or voting rights is not a natural person, fields 1.12.x.26 to 29 shall be completed for the legal entity and repeated and completed for each member of the management body and other persons effectively directing the business* | | | | | | | |
|  | **Ownership structure chart – Natural Person** | | | | | | | |
|  | Ownership structure chart of the applicant showing the position of shareholders who directly or indirectly hold 20% or more of the share capital or voting rights | | Enter text | | | | |
|  | Name | Enter text | |  | | Surname | Enter text | |
|  | Identification Document (‘ID’) Type | Select item | |  | | ID Number | Enter text | |
|  | MFSA PQ Code | Enter text | |
|  | Amount of the shares capital or voting rights held by the person. In case of indirect shareholder, the amount shall refer to the intermediate holder | | | Absolute Value | | | Enter text | |
| Percentage Value | | | Enter text | |
|  | Information in case of indirect holding - Name and contact details of the person through which the share capital or voting rights are held | | | | | | |
|  | Name | Enter text | |  | | Surname | Enter text | |
|  | Identification Document (‘ID’) Type | Select item | |  | | ID Number | Enter text | |
|  | MFSA PQ Code | Enter text | |
|  | Information on the group structure (where applicable) | | | | | | |
|  | 1. Information on whether the applicant is a subsidiary of a crowdfunding service provider authorised in another Member State | | Enter text | | | | |
|  | 1. Information on whether the applicant is a subsidiary of the parent undertaking of a crowdfunding service provider that is authorised in another Member State | | Enter text | | | | |
|  | 1. Information on whether the applicant is controlled by the same natural or legal persons who control a crowdfunding service provider authorised in another Member State | | Enter text | | | | |
|  | **Ownership structure chart – Legal Person** | | | | | | | |
|  | **Attachment** | Ownership structure chart of the applicant showing the position of shareholders who directly or indirectly hold 20% or more of the share capital or voting rights | | | | | | |
|  | Legal Name | Enter text | |  | | Registration Number | Enter text | |
|  | Legal Form | Select item | |  | | If ‘*Other Legal Form*’:  Specify Form | Enter text | |
|  | **Registered Address** | | | | | | | |
|  | Number/  Name | Enter text | |  | | Street/Road | Enter text | |
|  | City/Town/  Village | Enter text | |  | | Region/State  *(if applicable)* | Enter text | |
|  | Post Code | Enter text | |  | | Country | Select country | |
|  | Information on the group structure (where applicable) | | | | Enter text | | |
|  | 1. Information on whether the applicant is a subsidiary of a crowdfunding service provider authorised in another Member State | | | | Enter text | | |
|  | 1. Information on whether the applicant is a subsidiary of the parent undertaking of a crowdfunding service provider that is authorised in another Member State | | | | Enter text | | |
|  | 1. Information on whether the applicant is controlled by the same natural or legal persons who control a crowdfunding service provider authorised in another Member State | | | | Enter text | | |
|  | **Attachment** **|** **MFSA Annex – AX01 Corporate Questionnaire** *(if applicable)* | | | | | | |
|  | **Identity of the natural persons responsible for the management of the applicant.** | | | | | | | |
|  | Name | Enter text | |  | | Surname | Enter text | |
|  | Identification Document (‘ID’) Type | Select item | |  | | ID Number | Enter text | |
|  | MFSA PQ Code | Enter text | |  | | Function | Enter text | |
|  | **Description of the internal rules to prevent persons referred to in the first subparagraph of Article 8(2) from engaging, as project owners, in crowdfunding services offered by the prospective crowdfunding service provider** | | | | | | | |
|  | Internal procedures on conflicts of interest of project owners | | Enter text | | | | | |
|  | **Description of outsourcing arrangements** | | | | | | | |
|  | Description of the operational functions that the applicant plans to outsource, including cloud outsourcing | | Enter text | | | | | |
|  | Description of the third parties to whom the operational functions will be outsourced (where available), including the indication of their location and a summary of the outsourcing arrangements in case the third party is located in a third country (where available) | | Enter text | | | | | |
|  | Description of the internal arrangements and resources allocated to the control of the outsourced functions | | Enter text | | | | | |
|  | Description of the service level agreements in place with the service providers | | Enter text | | | | | |
|  | **Description of procedures to handle complaints from clients** | | | | | | | |
|  | Description of the procedures to handle complaints from clients adopted by the applicant, including the timeframe within which a decision on the complaint will be notified to potential complainants, as provided in the Commission Delegated Regulation (EU) adopted in accordance with Article 7(5) of Regulation (EU) 2020/1503 | | Enter text | | | | | |
|  | **Confirmation of whether the applicant intends to provide payment services itself or through a third party, under Directive (EU) 2015/2366, or through an arrangement in accordance with Article 10(5) of Regulation (EU) 2020/1503** | | | | | | | |
|  | The applicant shall inform the competent authority whether the payment services will be provided (cross as appropriate): | | Select item. | | | | | |
|  | The applicant shall include a description of the procedures and systems established by which the funds from the investors will be sent to the project owner and by which the investors will receive the remuneration of the capital invested | | Enter text | | | | | |
|  | **Procedures to verify the completeness, correctness and clarity of the information contained in the key investment information sheet** | | | | | | | |
|  | Description of the relevant procedures adopted by the applicant | | Enter text | | | | | |
|  | **Procedures in relation to investment limits for non-sophisticated investors referred to in Article 21(7) of Regulation (EU) 2020/1503**  *Procedures on investment limits for non-sophisticated investors* | | | | | | | |
|  | The applicant shall provide a description of the procedures adopted in order to carry out the assessment whether and which crowdfunding services offered are appropriate, including details on information requested to non-sophisticated investors about their experience, investment objectives, financial situation and basic understanding of risks involved in investing in general and in investing in the types of investments offered on the crowdfunding platform, referred to in Article 21(1) and (2) of Regulation (EU) 2020/1503 | | Enter text | | | | | |
|  | The applicant shall provide a description of the procedures adopted in order to carry out the simulation required to prospective non-sophisticated investors of their ability to bear loss, referred to in Article 21(5) of Regulation (EU) 2020/1503 | | Enter text | | | | | |
|  | The applicant shall provide a description of the procedures adopted in order to provide the information referred to in Article 21(4) of Regulation (EU) 2020/1503 | | Enter text | | | | | |
|  | The applicant shall provide a description of the procedures adopted by the applicant on investment limits for non-sophisticated investors, including the description of the content of the specific risk warning and the arrangements to acquire from the investor the explicit consent | | Enter text | | | | | |

| **PART 2**   1. ICT | |
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|  | **ICT Questionnaire** |
|  | **Attachment | MFSA Annex – AX05** |

| **PART 3**  **Declaration Form** | | | |
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| *Following submission of the Application, this Declaration Form should be printed and sent, originally signed, to the attention of* ***Authorisations, Banking Supervision Function, MFSA****. It is to be noted that only this form should be sent physically to the Authority and that should the Applicant send the entire Application, only the version submitted via the LH Portal shall be maintained and used for the purposes of the MFSA’s authorisation processes.*  *This Declaration Form should be signed by the two signatories vested with legal representation of the Applicant.* | | | |
| The undersigned, on behalf of Applicant, declare that:   1. **Application Submission and Authorisation Requirements** 2. the Applicant has resolved to apply for authorisation with the MFSA for the activities provided for within this Application; 3. the Applicant has duly authorised the undersigned to complete and submit this Application to the MFSA; 4. the Applicant is aware of the requirements under the provisions of the Act and other respective national or European Regulatory Frameworks or other binding regulation as may be applicable; and 5. the Applicant shall at time of authorisation, should this be granted, be in adherence with the obligations stipulated under point 1 (c) above. 6. **Information Provided to Authority**      1. the information given in answer to the questions within the Application is complete and accurate to the best of our knowledge, information and belief, and that there are no other facts relevant to this Application of which the Authority should be aware; 2. the Applicant has not tampered with, or modified in any manner, this Application or its respective Annexes, and understands that such tampering with, or modification in any manner of these documents will result in a refusal of this Application;      1. there are no inconsistencies between the provisions of the Constitutional Documents, the documents submitted with this Application (where applicable) and the information given in answer to the questions within the Application; 2. the MFSA will be notified immediately if the information given in answer to the questions within the Application changes and/or affects the completeness or accuracy of the Application either prior to or subsequent to authorisation should this be granted; and      1. this Declaration Form corresponds to the Application submitted to the Authority via the LH Portal bearing the following ID:  |  |  | | --- | --- | | **Application ID**  *This ID is provided automatically by the MFSA through the LH Portal and is not required for the on-line submission of the Application. In this respect, following submission of this Application via the LH Portal the Application ID will be available on the submission page and also within the acknowledgement email.* | Enter text |  1. the following documentation as indicated in the below have been submitted together with this Application:  |  |  |  | | --- | --- | --- | | Checklist of Documentation to be Submitted with the Application | | | |  | Ownership structure chart | Enter number of submissions | |  | Personal Questionnaire/s | Enter number of submissions | |  | MFSA Annex – AX01 | Enter number of submissions | |  | MFSA Annex – AX05 | Select item | |  | MFSA Annex – AX40 | Select item | |  | Constitutional Document | Select item | |  | Group Structure Diagram | Select item | |  | Organigram | Select item | |  | Own Funds | Enter number of submissions | |  | Service Level Agreement/s | Enter number of submissions | |  | Other Information | Enter number of submissions |  1. **Representatives and Disclosure** 2. the MFSA is hereby being authorised to contact the representatives provided by the Applicant under Section 1 of Part 1 of this Application; 3. the MFSA is hereby being authorised to make such enquiries as it may consider necessary in connection with this Application; and 4. the MFSA is hereby being authorised to contact any or all of the above-named or any other person considered by the Authority to be relevant, both at the date of application and at any time in the future unless and until I/we rescind this authority in writing.      1. **Privacy Notice**      1. I/we have read and understood the [MFSA Privacy Notice](https://www.mfsa.mt/privacy-notice/)[[1]](#footnote-1) and the terms and conditions included therein. | | | |
| Signature 1 |  |  | |
| Name | Enter text | Surname | Enter text |
| Position | Enter text |
| Date | Enter date |
|  | |
| Signature 2 |  | | | |
| Name | Enter text | Surname | Enter text | |
| Position | Enter text |
| Date | Enter date |

1. For further information visit: <https://www.mfsa.mt/privacy-notice/> [↑](#footnote-ref-1)