

**MALTA FINANCIAL SERVICES AUTHORITY**

**Fourth Schedule – Application for Persons to be entered in the Tied Insurance Intermediaries List (in relation to local Insurance Undertakings or enrolled insurance agents)**

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This document includes the Application for Persons to be entered in the Tied Insurance Intermediaries List (in relation to local Insurance Undertakings or enrolled insurance agents)

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**FOURTH SCHEDULE**  
*(Paragraph 2.3.3 of Chapter 2)*

**Application for Persons to be entered in the Tied Insurance Intermediaries List (in relation to local Insurance Undertakings or enrolled insurance agents)**

I hereby apply for enrolment in the Tied Insurance Intermediaries List under article 37 of the Insurance Distribution Act of the person whose particulars are given hereunder registered in the Tied Insurance Intermediaries Company Register of the undertaking under the said article.

An application for enrolment fee in accordance with Insurance Distribution (Fees) Regulations made under the Act is made by cheque No. \_\_\_\_\_, enclosed, payable to the Malta Financial Services Authority.

## Part I

*(This part of the application should be completed where the person is an individual)*

### A: Personal details

- A1. Title: \_\_\_\_\_  
Name: \_\_\_\_\_  
Maiden Name: \_\_\_\_\_  
Surname: \_\_\_\_\_
- A2. Position: \_\_\_\_\_  
*Full-time / Self-employed (If employed, state the name of employer; if self-employed, state the nature of business/activity)*
- A3. Identification Type: \_\_\_\_\_  
Identity Card Number: \_\_\_\_\_  
Passport Number: \_\_\_\_\_
- A4. Date of Birth: \_\_\_\_\_  
*Day/Month/Year*
- A5. Nationality: \_\_\_\_\_
- A6. Residential Address: \_\_\_\_\_  
\_\_\_\_\_
- A7. Personal Telephone Number: \_\_\_\_\_
- A8. Personal Mobile Number: \_\_\_\_\_
- A9. Personal Email Address: \_\_\_\_\_

A10. Address of place/s of business, including postcode, from where the tied insurance intermediaries' activities are to be carried out:

(1) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(2) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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## Part II

*(This part of the application should be completed where the person is not an individual)*

### **B: Company details**

B1. Name of body corporate /  
organisation:

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Date of Registration under the  
Companies Act (Cap. 386), if  
applicable:

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Registration Number:

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Address of Registered Office:

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B2. Business Telephone Number:

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B3. Business Mobile Number:

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B4. Business email address:

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B5. Address of place/s of business  
from where tied insurance  
intermediaries' activities are to be  
carried out:

(1) 

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(2) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

B6. Business Telephone Number: \_\_\_\_\_

Business Mobile Number: \_\_\_\_\_

Business email address: \_\_\_\_\_

B7. In the case of long term business, name of individual who is proposed to be appointed as money laundering reporting officer, where applicable:

Title: \_\_\_\_\_

Name: \_\_\_\_\_

Maiden Name (if applicable): \_\_\_\_\_

Surname: \_\_\_\_\_

Identity Card / Passport Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

*Day/Month/Year*

Nationality: \_\_\_\_\_

Personal Telephone Number: \_\_\_\_\_

Personal Mobile Number: \_\_\_\_\_

Personal Email Address: \_\_\_\_\_

**Where tied insurance intermediaries' activities are to be carried out from more than one place of business.**

B8. Branch Address: \_\_\_\_\_

\_\_\_\_\_

B9. Branch Telephone Number: \_\_\_\_\_

B10. Branch Mobile Number: \_\_\_\_\_

B11. Branch Email Address: \_\_\_\_\_

**C. Full name of individual/s satisfying the requirements of article 37(2) of the Act.**

Surname: \_\_\_\_\_

Forename/s: \_\_\_\_\_

Title: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

*Day/Month/Year*

Nationality: \_\_\_\_\_

Identity Card Number: \_\_\_\_\_

**Where tied insurance intermediaries activities are to be carried out from more than one place of business, the body corporate/organisation shall have, in each such place of business, presence of an individual satisfying those requirements. (attach a list of such individuals giving, in respect of each individual, particulars B8).**

**D: Qualifying shareholders and percentage sizes of holdings or voting rights**

D1. Individual Shareholders:

Name: (1) \_\_\_\_\_

Identity Card / Passport Number: \_\_\_\_\_

*Note 1*

Address including Postcode: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Proportion and Form of Voting Rights / Share Capital Held:

\_\_\_\_\_

Name: (2) \_\_\_\_\_

Identity Card / Passport Number: \_\_\_\_\_

*Note 1*

Address including Postcode: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Proportion and Form of Voting Rights / Share Capital Held:

\_\_\_\_\_

D2. Body Corporate Shareholders:

Name: (1) \_\_\_\_\_

Registration Number: \_\_\_\_\_

Address of Registered Office  
including Postcode:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Proportion and Form of Voting  
Rights / Share Capital Held:

\_\_\_\_\_

Name: (2) \_\_\_\_\_

Registration Number: \_\_\_\_\_

Address of Registered Office  
including Postcode:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Proportion and Form of Voting  
Rights / Share Capital Held:

\_\_\_\_\_

### Part III

*This part of the application should be completed by all applicants (natural and legal persons)*

#### **E. Connected Persons (please tick the appropriate box, where applicable)**

E1. An applicant is connected with an undertaking authorised under the Insurance Business Act (Cap. 403) to carry on business of insurance (the "insurance undertaking") if:

- (a) the applicant holds a direct or indirect shareholding representing more than 10% of the voting rights or of the capital in the insurance undertaking;
- (b) the insurance undertaking or parent undertaking of a given insurance undertaking has a holding, direct or indirect, representing more than 10% of the voting rights or of the capital in the applicant.

#### **F: Undertaking authorised under the Insurance Business Act (Cap. 403), or insurance agent enrolled under the Act applying for enrolment of a person in the Tied Insurance Intermediaries List**

F1. Name of Undertaking Authorised under the Insurance Business Act / Enrolled Insurance Agent:

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F2. Where application is made by an insurance agent acting for one undertaking, name of undertaking on whose behalf tied insurance intermediaries' activities are to be carried out:

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F3. Where application is made by an insurance agent acting for more than one undertaking, name of undertakings on whose behalf tied insurance intermediaries' activities are to be carried out:

\_\_\_\_\_

Long-Term Business:

\_\_\_\_\_

General Business:

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

(4) \_\_\_\_\_

(5) \_\_\_\_\_

(6) \_\_\_\_\_

**G: Close links**

G1. Please provide details of the identities of any persons who have close links with the applicant:

\_\_\_\_\_

**H: Tied insurance intermediaries activities relating to class or classes of business of insurance to be carried out (Before attempting to fill in this section, please read note below this section)**

H1. Where application is made by a company authorised under the Insurance Business Act or insurance agent acting for one company, activities assigned are to be indicated by (√) in the appropriate box.

H2. Where application is made by an insurance agent acting for more than one undertaking, activities assigned are to be indicated in the appropriate box by arabic number:

- (1) if the activities relate to long term business and are to be carried out on behalf of the undertaking listed as B3. (1);
- (2) if the activities relate to long term business and are to be carried out on behalf of the undertaking listed as B3. (2);
- (3) if the activities relate to long term business and are to be carried out on behalf of the undertaking listed as B3. (3);
- (4) if the activities relate to general business and are to be carried out on behalf of the undertaking listed as B3. (4);
- (5) if the activities relate to general business and are to be carried out on behalf of the undertaking listed as B3. (5);
- (6) if the activities relate to general business and are to be carried out on behalf of the undertaking listed as B3. (6).

**Long-Term Business:**

- I.  Life and Annuity
- II.  Marriage and Birth
- III.  Linked Long-Term
- IV.  Permanent Health
- V.  Tontines
- VI.  Capital Redemption
- VII.  Pension Fund Management
- VIII.  Collective Insurance
- IX.  Social Insurance

**General Business:**

1		Accident and Health	1	2			
2		Motor	1(d)	3	7	10	
3		Marine and Transport	1(d)	4	6	7	12
4		Aviation	1(d)	5	7	11	
5		Fire and other					
		Damage to Property	8	9			
6		Liability	10	11	12	13	
7		Credit and Suretyship	14	15			
8		General	1	2	3	4	5
			6	7	8	9	10
			11	12	13	14	15
			16	17	18		

**Note:**

Tied insurance intermediaries' activities shall be assigned:

- (a) in the case of **long-term business**, by **classes** as specified in the Second Schedule to the Insurance Business Act (Cap. 403);
- (b) in the case of **general business**, by **groups of classes** as specified in Part II of the Third Schedule to the Insurance Business Act (Cap. 403).

In both cases, shaded classes are classes not subject to tied insurance intermediaries' activities as determined by Chapter 11 on the Provisions applicable to specific insurance and reinsurance intermediaries.

**Declaration:**

The particulars provided in this application and the documents produced with it are complete and true to the best of my knowledge, information and belief. I confirm that each individual who is to carry out the tied insurance intermediaries' activities:

- is a person resident in Malta;
- is over the age of 18 years;
- holds a clean police conduct certificate;
- possesses secondary school level of education;
- has successfully completed a course for tied insurance intermediaries pursuant to the requirements of Section 6.4 of Chapter 6 on Knowledge and Ability; and
- is a fit and proper person.

**I further confirm that the applicant is:** *(please tick the appropriate box)*

Authorised to collect and hold monies in relation to policies of insurance

Not authorised to collect and hold monies in relation to policies of insurance

hereby authorise the competent authority to contact any or all of the above-named or any other person considered by the competent authority to be relevant, both at the date of application and at any time in the future unless and until I rescind this authority in writing. I also undertake to inform the competent authority in writing of any material change relevant to this application

Name of undertaking (in block capitals): \_\_\_\_\_

Name of person signing on behalf of the undertaking: \_\_\_\_\_

Position Title: \_\_\_\_\_

Date: \_\_\_\_\_

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**Documentation:**

Please provide the following documentation:

1. Where the tied insurance intermediary is not an individual, Memorandum and Articles of Association or Deed of Incorporation is to be submitted in draft form and should include the following clause *"to act as a tied insurance intermediary under the Insurance Distribution Act."*
2. Evidence that the person in respect of who/which the application is being submitted has successfully completed a course of tied insurance intermediaries pursuant to the requirements of Section 6.4 of Chapter 6 on Knowledge and Ability.
3. The previous original certificate of enrolment where the applicant is enrolled in the Tied Insurance Intermediaries List to carry out tied insurance intermediaries' activities for or on behalf of another company concerned in the same classes of business to which this application relates.

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