

THE FINANCIAL SERVICES COMMISSION

APPLICATION FORM (last updated 3 January 2003) FOR CATEGORY 1 GLOBAL BUSINESS LICENCE

(approved under section 20(2) of the FSD Act 2001)

THIS FORM SHOULD BE READ IN CONJUNCTION WITH THE "GUIDE TO COMPLETING THE APPLICATION FORM FOR A CATEGORY ONE GLOBAL BUSINESS LICENCE (GUIDE)"

[Please refer to pages 7-8 of the Guide for further information on any word marked with superscript 1 and to page 9 of the Guide for words marked with superscript 2]

FULL NAME OF APPLICANT²

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IS THE APPLICANT "IN FORMATION"²?

YES

NO

NAME AND CONTACT DETAILS OF THE APPLICANT'S MANAGEMENT COMPANY

NAME

ADDRESS

PHONE NUMBER

FOR OFFICIAL USE

Applicants Should Not Write Below This Line

Date of Application

				2	0	0	
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Date of Receipt:

				2	0	0	
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FSC Reference No:

C1									
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SECTION 1 – LEGAL STATUS OF THE APPLICANT

1. APPLICANT'S DETAILS

1.1 IS THE APPLICANT PROPOSING TO BE A:

1.1.1 Company ☐

1.1.2 Société ☐

1.1.3 Other (please specify)?

1.2 IF THE APPLICANT EXISTS ALREADY², please indicate

1.2.1 Country of Incorporation/Registration

1.2.2 Date of Incorporation/Registration

1.2.3 Mode of Incorporation/Registration of Corporation *(please tick below)*

☐ CONTINUATION ☐ BRANCH ☐ CHANGE IN LEGAL REGIME FROM GBC 2 TO GBC 1 ☐ OTHER

2. CORPORATE DETAILS

2.1 Details of Corporate Structure

Private Company	
Public Company	
Limited Life Company	
Company Limited by Shares	
Company Limited by Guarantee	
Company Limited by Shares and Guarantee	

Unlimited Company	
Foreign Company (Branch)	
Protected Cell Company	
Société	
Other (please specify below)	

2.2 Address of Registered Office in Mauritius:

.....
.....

2.3 Business Address in Mauritius (if different from 2.2)

.....
.....

2.4 Name of the Applicant's Secretary¹

.....
.....

2.5 Address of the Applicant's Secretary

.....
.....
.....

Tel:..... Fax:.....

2.6. Contact Details of Directors¹:

A. Resident¹

2.6.1 Director 1

Name :
Address :
.....
.....

2.6.2 Director 2

Name :
Address :
.....
.....

B. Non-Resident

2.6.3 Director 1

Name :
Address² :
.....
.....

2.6.4 Director 2

Name :
Address² :
.....
.....

2.7 Name of the Applicant's Auditor

.....
.....

2.8 Address of Auditor

.....
.....
.....

Tel:..... Fax:.....

2.9 Contact Details of the Applicant's Legal Advisor²

Name :

Address:.....
.....
.....

Tel: Fax:

2.10 Contact Details of the Applicant's Banker *(In Mauritius)*

2.10.1 Bank holding a Category 2¹ Banking Licence

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.....

2.10.2 Bank holding a Category 1¹ Banking Licence

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3. QUALIFIED GLOBAL BUSINESS

Please tick appropriate Activity(ies) listed below.

Aircraft Financing and Leasing	<input type="checkbox"/>	Logistics and or Marketing	<input type="checkbox"/>
Asset Management	<input type="checkbox"/>	Operational Headquarters	<input type="checkbox"/>
Consultancy Services	<input type="checkbox"/>	Pension Funds	<input type="checkbox"/>
Employment Services	<input type="checkbox"/>	Shipping and Ship Management	<input type="checkbox"/>
Financial Services	<input type="checkbox"/>	Trading	<input type="checkbox"/>
Fund Management	<input type="checkbox"/>	Investment Holding	<input type="checkbox"/>
Information and Communication Technology Services	<input type="checkbox"/>	Collective Investment Scheme	<input type="checkbox"/>
Insurance	<input type="checkbox"/>	Other <i>(please specify)</i> :	<input type="checkbox"/>
Licensing and Franchising	<input type="checkbox"/>		<input type="checkbox"/>

4. OWNERSHIP

4.1 Beneficial Owners¹⁺²

4.1.1 Full Name:.....

.....

4.1.2 Residential Address²

.....

.....

.....

Tel:..... Fax:

4.1.3 Occupation/Relevant Qualifications and Experience

.....

.....

.....

4.1.4 Nationality:

.....

4.1.5 Passport Number:

.....

4.1.6. Place of incorporation/registration (for corporates)

.....

4.1.7. Activities (for corporates)

.....

4.1.8. Listed (for corporates)

.....

- 4.2** If the applicant, its shareholders or beneficial owner(s) has/have promoted/ incorporated/ registered or acquired any company in Mauritius previously, please provide details below.

Company Name	Management Co.	Category	Ref. No.

5. DETAILS OF APPLICANT'S/BENEFICIAL OWNER'S BUSINESS RECORD¹

- 5.1 State all the former trading names (if any) used by the Applicant/ Beneficial Owner during the last 7 years. Please indicate the dates of the change of names.
- 5.2 Please specify those countries or territories in which the Applicant/ Beneficial Owner intends to carry out financial services business to which this licence applies.
- 5.3 Does the Applicant/Beneficial Owner conduct or carry out financial services business from any jurisdiction other than Mauritius?
If yes, please provide the address from which such financial services business is carried out. ☐ Yes ☐ No
- 5.4 Is the Applicant/Beneficial Owner regulated in another jurisdiction or has the Applicant applied for a licence from any regulatory authority in any other jurisdiction?
If yes, please provide details. ☐ Yes ☐ No
- 5.5 Has the Applicant/Beneficial Owner made a similar application in another jurisdiction?
If yes, please provide details and outcome ☐ Yes ☐ No

- 5.6 Has the Applicant/Beneficial Owner at any time in the previous 7 years been criticised, censured, disciplined, suspended, or fined by any regulatory body in Mauritius or by any regulatory body in any other jurisdiction?
If yes, please supply details ÿ Yes ÿ No
- 5.7 At any time in the previous 7 years, has an application been made for the bankruptcy or compulsory winding up of the Applicant/Beneficial Owner or has the Applicant's property been seized or Applicant's property been seized or forfeited or relinquished by any other similar means?
If yes, please supply details ÿ Yes ÿ No
- 5.8 Has the Applicant/Beneficial Owner at any time in the previous 7 years had a Receiver or an Administrator appointed or failed to satisfy a debt adjudged due, or come to a compromise or similar arrangement with any of its creditors?
If yes, please supply details ÿ Yes ÿ No
- 5.9 Has the Applicant/Beneficial Owner been engaged in any civil proceedings or arbitration at any time in the previous 7 years in which a debt was adjudged due from, or judgement given against, the Applicant in relation to any financial service?
If yes, please supply details. ÿ Yes ÿ No
- 5.10 Has the Applicant/Beneficial Owner at any time been convicted of any offence involving fraud, or other dishonesty, or any other offence such as an economic offence or money laundering or been subject to penalties for tax evasion (whether or not in Mauritius) relating to companies carrying out financial services business?
If yes, please supply details. ÿ Yes ÿ No
- 5.11 Has any Director, Officer or Partner of the Applicant been convicted in any Court of Law for a criminal offence or penalised or sanctioned, or is currently or has ever been under investigation for professional negligence or malpractice by any Regulatory Authority in any country?
If yes, please supply details ÿ Yes ÿ No

6. Financial Resources

- 6.1 6.1.1 Amount to be Capitalised by Applicant :
- 6.1.1.a. by Equity
- 6.1.1.b. by Loan.....
- 6.1.2 Estimated Volume of Business in first 12 months
- 6.1.3 Duration of Business - (*If limited life company*)
- 6.1.4 Any other information considered relevant

- 6.2 6.2.1 Share Capital (specify whether at par value or not)
- Stated Capital¹
- Amount to be represented by No Par Value Shares
 :
- Types and Classes of Shares
- Shares
 — Shares
 — Shares
- 6.2.2 Share Capital
- Authorised Capital¹
- Types & Classes of Shares
- ____ shares of ____ par value
 ____ shares of ____ par value
- Issued
- ____ shares of ____ par value
 ____ shares of ____ par value
- 6.3 Source of Capital/Fund
- Proprietary
- Non-Proprietary
- Borrowed (*Please Provide details*).....
- Others.....
7. **Accounting Reference Date¹:**
8. **Other Licences¹**
- 8.1 Has an application been made or is it proposed to make application in Mauritius for any other licence (e.g. Freeport, RHQ, PRS...etc)? ☐ Yes ☐ No
- If yes, please supply details
9. **BUSINESS PLAN¹**
- 9.1 Please provide a business plan.