

AUTHORISATION APPLICATION FORMS

GUIDELINES

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REVISIONS LOG

VERSION	DATE ISSUED	DETAILS
1	30 June 2021	Guidelines Issued
1.1	10 November 2021	Revised Guidelines

Title 1 General

Section 1 Scope and Application

AG-1.1.1 The Guidelines to the Authorisation Application Forms ('Guidelines') are issued to assist Applicants in compiling the respective Authorisation Application Form ('Application') in the manner expected by the Malta Financial Services Authority ('MFSA' or 'Authority').

AG-1.1.2 These Guidelines are applicable to persons wishing to obtain authorisation from the MFSA to provide and/or perform a service or services requiring authorisation in terms of applicable financial services legislation currently in force in Malta.

Section 2 High-Level Guidelines

AG-1.2.1 These Guidelines shall be read in conjunction with the respective Applications and are intended to supplement certain questions within the Applications and guide the Applicant to satisfy the requirements delineated therein to the Authority's expectations. The Applicant should thus refer to the respective Application and use these Guidelines as a guide in relation to the applicable sections and sub-sections outlined within the respective Application, as applicable. The Applicant may also refer to Appendix B-2, which outlines the relevant applicable sections within each Application.

AG-1.2.2 In relation to queries relating to sector specific aspects, the Applicant is to seek guidance from the latest applicable MFSA circulars and sector specific FAQs found within the sector page on the MFSA website.

AG-1.2.3 These Guidelines are not intended to replace or override or substitute any legislative provisions or legal requirements stemming either from applicable EU law or applicable national law.

AG-1.2.4 The respective Application shall be duly filled in by the Applicant, or Representative appointed by the Applicant, and shall to the best of his/her knowledge, provide information which is truthful, accurate and complete.

AG-1.2.5 The Applicant shall notify the MFSA immediately if the information provided changes in any material respect subsequent to submitting an Application.

AG-1.2.6 The Applicant shall not tamper with or modify in any manner the respective Application and Annexes. Should it transpire that these were tampered with, or modified in any manner, the Authority shall consider the Applicant to be in breach of these Guidelines.

AG-1.2.7 The Authority may, at its sole discretion, request the Applicant to provide any further information and/or documentation.

- AG-1.2.8 The submission of Applications and/or their determination of 'completeness' shall NOT be construed as a granting of Authorisation by the MFSA. Furthermore, Applicants are 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.
- AG-1.2.9 The MFSA may update or amend these Guidelines from time to time as appropriate.
- AG-1.2.10 Any potential improvements and/or recommendations should be communicated to the MFSA for consideration.

Section 3 Authorisation Process - Service Charter

- AG-1.3.1 The Application package forms part of the MFSA's Authorisation Process - Service Charter, which, *inter alia*, delineates the key milestones and timelines of the Authorisation process for the Authority and the Applicant.

Section 4 Definitions

- AG-1.4.1 Unless otherwise specified, terms used in these Guidelines shall have the same meaning assigned to them within the respective Application.

Section 5 Date of Application

- AG-1.5.1 These Guidelines shall apply from the date of the latest publication available.

Title 2 Methodology

Section 1 Scope and application

AG-2.1.1 This Title outlines the methodology underpinning the Authorisation Application Forms, their respective validations and reporting requirements.

Section 2 Accessing the Application Forms

AG-2.2.1 Authorisation Application Forms, together with the applicable Annexes to the Application Form, have been made publicly available online on the dedicated MFSA Authorisations page on the MFSA website, accessible through the following link:

<https://www.mfsa.mt/firms/authorisations/>

AG-2.2.2 Prior starting the compilation of an Application, the Applicant is to download the latest Application and applicable MFSA Annexes from the MFSA website.

Section 3 Microsoft Office Compatibility

AG-2.3.1 The Authorisation Application Forms, together with the applicable Annexes to the Application Forms, are supported by Microsoft Office 2013 suit onwards.

Note – although certain programme applications may still access Microsoft Word documents, they may jeopardise the integrity of the contents within the respective Word documents. In this regard, where programme applications other than Microsoft Word are utilised, the Applicant is to ensure compliance with AG-1.2.6 and that the integrity of the downloadable document is maintained.

Section 4 Filling in the Application Forms

AG-2.4.1 The Applicant is required to complete all the respective sections of the Application, as applicable.

Sub-section 1 Inapplicable Sections / Questions

AG-2.4.1.1 In cases where a section or question is rendered inapplicable based on a previous question, the Applicant may mark as "N/A" or leave blank.

The Applicant is to also mark MFSA PQ code "N/A", in cases where the respective regulatory framework does not require a role to obtain the MFSA's prior approval.

For all other cases which are not applicable, or information is not yet available, such as appointment dates or roles with unidentified individuals at application stage, the Applicant is required to mark "N/A".

- AG-2.4.1.2 The Applications are structured in a manner where the Applicant is guided to enter text or select items from a drop-down list, as applicable.

Sub-section 2 MFSA PQ code

- AG-2.4.2.1 In several sections within the Application a MFSA PQ Code is requested. In instances where this is compulsory, prior to the submission of the Application, the respective proposed individual/s is/are required to compile their MFSA PQ and provide the Applicant with the respective MFSA PQ codes to be inserted within the Application.

In the event a candidate is not yet appointed, this shall not apply and the MFSA PQ code is to be left void.

Sub-section 3 Appointed Individuals' Personal Details

- AG-2.4.3.1 Further to AG-2.6.3 and AG-2.4.3.1, where an individual has submitted a PQ in relation to the respective Application, the Applicant can only fill the (i) Title; (ii) Name; (iii) Surname; and (iv) MFSA PQ Code. The other personal details can be left void.

On the other hand, all personal details are to be filled for individuals where PQ has not been submitted in relation to the respective Application.

Sub-section 4 Repeating Sections

- AG-2.4.4.1 Certain sections or questions allow for the addition of multiple responses. This is indicated by a note instructing the Applicant to "add multiple as applicable" at the bottom right of each respective section or question.

- AG-2.4.4.2 *Repeating Sections* are to be added by clicking on the plus "+" sign on the lower right end of the section or question, whilst active within the respective section or question. A new section or question will automatically be duplicated for the Applicant to fill in accordingly.

Sub-section 5 Moving the Cursor within Text Boxes

- AG-2.4.5.1 To move up and down within a text box, users can either use the mouse or *Ctrl + up/down arrow*. Using up/down arrows alone will move the cursor to the previous/next text box.

Section 5 Submitting an Application

AG-2.5.1 The MFSA shall only be considering applications for authorisation made through the License Holder Portal ('LH Portal'), which is available through the following link:

<https://lhportal.mfsa.mt/>

AG-2.5.2 The Applicant shall proceed to initiate the submission by selecting the "*Apply for a Licence*" button, after logging in the LH Portal. The Applicant will then be prompted to select the respective type of application form they wish to submit. In this case, the Applicant shall select "*Application for Authorisation*" and subsequently click on the "*create*" button.

AG-2.5.3 The Applicant will then be redirected to the Application Form Submission page, where they will be requested to:

- i. Indicate the type of Authorisation Application Form being submitted;
- ii. Identify the individual or corporate entity / civil partnership;
- iii. Upload the Authorisation Application Form in **word (.docx) format**;
- iv. Upload any additional attachments, as may be necessary (refer to Section 6 below); and
- v. Declare that the information submitted is complete and correct.

AG-2.5.4 The *Declarations* Part within the Application provides all information with respect to the submission of the Application Declarations Form.

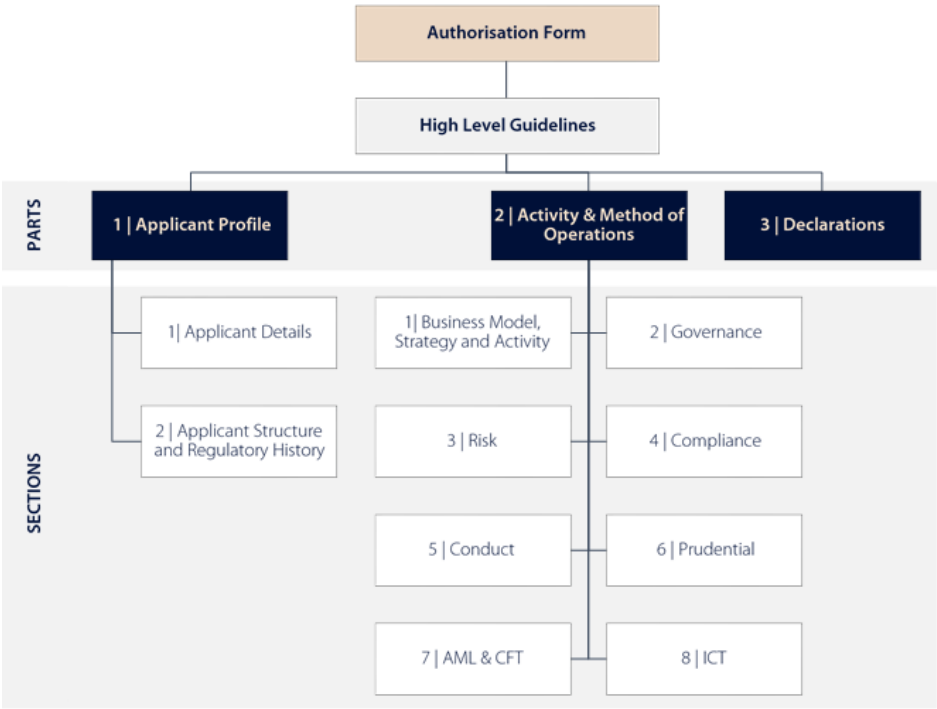
This Form needs to be printed, signed and submitted to the Authority in original.

AG-2.5.5 Applicants which at the time of submission stage have one legal representative, can proceed to submit the Declarations Form with one signature.

This said, the above is not applicable to Applicants which may have a Resolution in place that allows for one of its legal representatives to sign certain documents on its behalf.

Section 6 Structure

AG-2.6.1 These Guidelines reflect the following Application structure:



AG-2.6.2 Pursuant to AG-1.2.1, the Applicant should only refer to the sections and sub-sections outlined in the respective Application and may also use the structure outlined in AG-2.6.1 or Appendix B1, as a high-level indicative Application structure.

AG-2.6.3 In order for a submission to be considered complete, the Applicant is required to have submitted a complete Application along with all the required documentation and the payment of the relevant application fee, as identified within the respective Applications.

In addition, prior to submission of an Application, the Applicant is to obtain confirmation that all required PQs have been submitted by the respective appointed individuals via the MFSA LH Portal.

AG-2.6.4 Pursuant to AG-2.6.3, the Applicant will be informed about the completeness of the Application and the supporting documentation following review by the Authority.

Section 7 Attachments

AG-2.7.1 The Applicant shall also be requested to upload and attach specific documents along with the Application.

AG-2.7.2 A number of attachments required in the Application, refer to *MFSA Annexes* to the Application Form. The Applicant is required to download the applicable Annexes from the MFSA website as outlined in AG-2.2.1. Applicants may refer to Appendix C of these Guidelines or the MFSA website, for the list of all applicable Annexes.

Note that several MFSA Annexes may require the Applicant to attach other MFSA Annexes and/or documents.

- AG-2.7.3 Further to the documents and MFSA Annexes that the Application requests for, the Applicant may also wish to attach additional documents. This said, such attachments are to be limited to a minimum and provided only in instances where the Applicant deems them crucial for its authorisation.

Note that additional attachments should not replace the information required by the Application and/or the MFSA Annexes.

- AG-2.7.4 Applicants shall refer to the checklist within *Part 3 – Declarations* of the Applications for a list of documentation to be submitted along with the respective Application, as applicable.

- AG-2.7.5 All applicable MFSA Annexes shall be uploaded in **word (.docx) format**.

Any other documentation attached to the Application, is to be uploaded in **PDF (.pdf) format**, unless otherwise specified.

- AG-2.7.6 Uploaded documentation should be of sufficient resolution to enable legibility and, unless otherwise specified, should adhere to the following naming convention:

*YYYYMMDD_ApplicantName_DocumentName_V{respective version number of doc}*¹

Examples:

20210701_ABMaltaLtd_AA12_V1
20210701_ABMaltaLtd_Organigram_V1
20210720_ABMaltaLtd_Organigram_V2

- AG-2.7.7 The respective documents should follow any applicable guidelines, as issued by the MFSA or other Authorities from time to time, as applicable.

- AG-2.7.8 The Authority may, at its sole discretion, request the Applicant to submit originals or certified true copies of the uploaded and attached documentation, as it may deem necessary.

Section 8 Application Fee

- AG-2.8.1 The Application fee may be paid either through (i) cheque, which should be made payable to the “MFSA” or “Malta Financial Services Authority”, or (ii) bank transfer using either of the following details:

¹ Note that throughout the authorisation phase, the Applicant may be requested to resubmit a revised version/s of a document/s. The *version number of a doc* refers to the number of such revised resubmissions. Thereby, the initial submission shall show “V1”.

<i>Bank</i>	Bank of Valletta plc
<i>Address</i>	229, Fleur-De-Lys Road, Birkirkara BKR9069, Malta
<i>IBAN</i>	MT06VALL22013000000015803811041
<i>BIC</i>	VALL MT MT

<i>Bank</i>	HSBC Bank Malta plc
<i>Address</i>	1, Naxxar Road, Birkirkara BKR 9049, Malta
<i>IBAN</i>	MT64MMEB44277000000027070457001
<i>BIC</i>	MMEB MT MT

Title 3 Part 1: Applicant Details

Section 1 Applicant Details

AG-3.1.1 This section aims to identify the Applicant and captures generic details relevant to the Applicant.

Sub-section 1 Applicant Person Type

AG-3.1.1.1 The Applicant is required to provide information regarding the Applicant Person Type by selecting an option from the dropdown list. If "Other" is selected, where applicable, the Applicant is requested to specify what this Type is.

Sub-section 2 Applicant – General and Identification Details

AG-3.1.2.1 Dependency: The Applicant will be directed to relevant questions based on whether the Applicant has identified themselves as a Natural Person or a Legal Person.

AG-3.1.2.2 Where the Applicant is a Natural Person, the Applicant is required to provide identification and contact details, including the respective MFSA PQ Code, which has to be compiled prior to the submission of the Application.

Sub-section 3 Other Names and Logos

AG-3.1.3.1 In this section the Applicant is required to disclose all branding which: (i) identifies; (ii) is intended to identify; or (iii) used to identify with, the Applicant and its offerings.

AG-3.1.3.2 The Applicant is requested to disclose whether it ever had, currently has, or intends to have different names/ aliases/ trade names. The Applicant is also requested to disclose the reasoning behind the use of such other names.

Sub-section 4 Online Presence

AG-3.1.4.1 The Applicant is requested to indicate all official URL links to its online and/or social media presence.

AG-3.1.4.2 The Applicant is to note that the Authority will not approve the content available on the website or material uploaded on the social media platforms, if any. This said, the Authority also reserves the right to request for any changes to be made, as may be required.

Section 2 Applicant Structure and Regulatory History

AG-3.2.1 This section aims to capture information Applicant's identity by looking into aspects on:

- i. Constitutional Documentation;
- ii. Group Structure;
- iii. Share Holding Structure;
- iv. Applicant's Interest in Other Persons;
- v. Resource Sharing;
- vi. Regulatory History;
- vii. Significant Events & Integrity Confirmations; and
- viii. Sanctions and Restrictive Measures.

Sub-section 1 Constitutional Documentation

AG-3.2.1.1 Attachments Required: *Constitutional Documentation, such as Memorandum and Articles of Association.*

Sub-section 2 Group Structure

AG-3.2.2.1 Dependency: *This sub-section is only applicable if the Applicant is not a Natural Person.*

AG-3.2.2.2 The purpose of this section is to identify, where applicable, the Applicant's positioning within a group structure, including the group's strategy, complexity and interconnectedness between parties within the group.

The Applicant is required to substantiate the Group Structure sub-section and Diagram by providing information on all entities within the group notwithstanding their objects, country of incorporation or operational status.

AG-3.2.2.3 Attachment Required: *Group Structure reflecting all tiers up to the Ultimate Beneficial Owners and down to any interests of the Applicant in Other Persons, indicating:*

- i. *the full names of all shareholders and Other Persons,*
- ii. *the percentage of direct and/or indirect share ownership, voting rights or ownership interest; and*
- iii. *respective regulatory status as applicable.*

Sub-section 3 Shareholding Structure

AG-3.2.3.1 Dependency: *This sub-section is only applicable if the Applicant is not a Natural Person.*

Sub-section 4 Qualifying Shareholders, Other Controllers and Applicant's Interests in Other Persons

AG-3.2.4.1 In these sub-sections, the Applicant is required to provide the information for each *person*, adding Repeated Sections, as necessary.

The Repeated Sections also ask whether the *person* will be involved in the day-to-day running of the Applicant (in the section on the Applicant's Interest in Other Persons, the question refers to whether the Applicant will be involved in the day-to-day running of its subsidiaries).

Day-to-day running, refers to the involvement of the natural or legal person in question within the Applicant or the Applicant's subsidiary accordingly.

In the event such involvement is captured by means of resource sharing and/or outsourcing agreements, the Applicant can note such in this data field and provide details in the other respective sections within the Application and/or MFSA Annexes as applicable.

AG-3.2.4.2 *Attachments Required:* An MFSA Annex - AX01 - Corporate Questionnaire is to be submitted for each Direct Qualifying Shareholder and Ultimate Parent Qualifying Shareholder.

AG-3.2.4.3 Pursuant to AG-3.2.4.2, it is also noted that in its sole discretion, the MFSA may request Annex - AX01 - Corporate Questionnaire to be submitted by other Controllers, other Qualifying Holders or other Legal Persons being proposed with an Applicant.

Sub-section 5 Resource Sharing

AG-3.2.5.1 The purpose of this sub-section is to, (i) identify resource sharing arrangements in place, (ii) the Applicant's relationship with these entities, (iii) as well as the interconnectedness with and influence which these entities may pose on the Applicant. The Applicant is also required to explain the systems in place to maintain independence and control on the running of its operations.

In instances where the entities identified within this sub-section shall also service the Applicant's key functions, the Applicant is to provide the relevant information within the respective sections of Part 2 of the Application.

Sub-section 6 Regulatory History

AG-3.2.6.1 In cases where the Applicant has no Regulatory History to disclose, please reply as "No" and proceed to the subsequent sub-section.

Sub-section 7 Significant Events & Integrity Confirmations

AG-3.2.7.1 The Applicant is required to select the cases which apply to the Applicant and/or its subsidiaries. Consequently, the Applicant is also required to fill-in the details and attach evidence in relation to the respective case in the *form* below, creating additional *case forms* for each case selected and the number of cases it may have.

AG-3.2.7.2 *Attachments Required:* *All material evidence in relation to each case subject selected and the various applicable cases.*

Title 4 **Part 2: Activity and Method of Operations**

Section 1 **Business Model, Strategy and Activity**

AG-4.1.1 This section aims to capture information relevant to the Applicant's:

- i. (Application) Rationale;
- ii. Business model;
- iii. Proposed activity;
- iv. Financial services activity, flows, execution and settlement; and
- v. Business strategy.

While several aspects within these sub-sections overlap, the Applicant is to refer to any in-line notes within the Application and the guidance below, to provide the relevant specific detail required from each question.

The Applicant is to ensure that all relevant information on the business model and operational setup is provided and is consistent throughout.

Sub-section 1 Business Model

AG-4.1.1.1 The Applicant is to provide an overview of its proposed business model, describe its plan for profitably within the financial sector it is applying in and elaborate on the value proposition.

Sub-section 2 Financial Services Activity, Flows, Execution and Settlement

AG-4.1.2.1 Where applicable, this sub-section will walk the Applicant through several questions to provide specific details on how the financial service/s offering and the respective flows, execution and settlement of each financial service will be implemented in practice.

The Applicant is required to elaborate on the operational aspects and interactions of the financial service activities it is applying for, detailing how it will effectively provide each financial service it is applying for. This description should thus offer clarity on how the Applicant's operational setup aligns with the respective financial services activity/ies.

AG-4.1.2.2 The second part of the Repeated Section dissects various aspects of the financial services activity/ies' life cycle including, *inter alia*, information on flows of funds, execution and settlement, and parties involved in the transactions.

Note that the Applicant is requested to include any ancillary services and other services where these relate to the transaction flow of the Financial Service Activity.

Provided that in some instances certain financial services activities may interact together or be offered in tandem, the Applicant may combine these within one Repeated Section. It is however crucial that all aspects specified within the Repeated Section are fully tackled to provide a coherent description and clear understanding.

Sub-section 3 Business Strategy

AG-4.1.3.1 **Attachments Required:** *Organigram. This should depict the staffing intentions for the first 3 years of operations, outlining:*

- i. reporting lines,*
- ii. type of employment (part- or full time); and*
- iii. the base of operations of the staff, i.e. the location where the employees will be based.*

AG-4.1.3.2 The Applicant is required to provide a detailed overview of its programme of operations and intentions of the Applicant over the first three 3 years of operation with respect to the business model and strategy. Information provided may include aspects such as: business development and growth, product expansion, new markets and/or niches tapped into, new operational lines and services (licensable or not).

Section 2 Governance

AG-4.2.1 This section primarily aims to identify the Applicant's governance arrangements, particularly in relation to the Applicant's:

- i. Management Body;
- ii. Proposed committees;
- iii. Internal Control Framework;
- iv. Internal Audit;
- v. Key Function Holders; and
- vi. Third-Party Functionaries.

Sub-section 1 Management Body

AG-4.2.1.1 In this section, the Applicant is required to disclose all proposed members within the Management Body and *inter alia* provide information with respect to their respective oversight responsibilities and other involvements with the Applicant as applicable to the authorisation being applied for.

AG-4.2.1.2 In this section the Applicant is to indicate any specific *Areas of Focus* and/or Oversight which will be assigned to any of the members within the Management Body.

AG-4.2.1.3 Attachments Required: MFSa Annex – AX 02, prepared by the Applicant, for each proposed member of the Management Body.

Sub-section 2 Internal Control Framework

AG-4.2.2.1 The Applicant is required to provide an outline of the arrangements, policies and procedures in relation to their Internal Control Framework. This includes, *inter alia*:

- i. systems and controls;
- ii. monitoring and reporting;
- iii. record keeping;
- iv. confidentiality;
- v. business continuity management;
- vi. conflicts of interest; and
- vii. complaints handling.

AG-4.2.2.2 The Applicant is required to provide outlines of various policies and procedures ("P&Ps"). The level of detail of the overviews of the required P&Ps shall be guided by the respective regulatory framework.

Where the regulatory framework does not provide specific information in this regard, the Applicant is required to provide an overview of the key aspects which are covered by the respective P&P.

Section 3 Risk

AG-4.3.1 This section primarily aims to identify the Applicant's arrangements in relation to Risk Management, particularly the:

- i. Risk Management Function,
- ii. Risk Officer; and
- iii. Risk Management Framework.

Section 4 Compliance

AG-4.4.1 This section primarily aims to identify the Applicant's arrangements in relation to Compliance, particularly the:

- i. Compliance Function;
- ii. Compliance Officer; and
- iii. Compliance Framework.

Section 5 Conduct

AG-4.5.1 This section primarily aims to identify the Applicant's Conduct related matters, particularly the Applicant's proposed:

- i. marketing strategy;
- ii. client base;
- iii. source of business;
- iv. countries and geographical areas; and
- v. online platform, as applicable.

Sub-section 1 Countries and Geographical Areas

AG-4.5.1.1 Note that this section is without prejudice to any additional requirements outlined in the relevant regulation and/or MFSA procedures.

Section 6 Prudential

AG-4.6.1 This section primarily aims to identify the Applicant's Prudential related matters, particularly the:

- i. accounting date;
- ii. reporting currency;
- iii. initial capital;
- iv. financial information; and
- v. insurance arrangements, as applicable.

Sub-section 1 Initial Capital – Own Funds

AG-4.6.1.1 The Applicant is requested to provide information explaining the available funding sources for own funds and, where available, evidence of the availability of those funding sources, as applicable.

The Applicant is required to ensure that the information and evidence provided here is complete and consistent with the information disclosed within the Application, and any additional documentation and information attached thereto and requested by the Authority during the authorisation process. This includes, but is not limited to, information on the statement of wealth, source of wealth and source of funds of the qualifying shareholders as may be requested; financial projections of the Applicant; and management or audited financial statements of group and/or related entities as may be requested.

AG-4.6.1.2 The Applicant is also required to elaborate on and specify the capital nature/s, as applicable by the respective regulatory framework, which will constitute the Applicant's own funds.

Section 7 ICT

AG-4.7.1 Attachments Required: MFSA Annex – AX04 or AX05.

Where applicable, the Applicant is to attach the requested MFSA Annex with the respective Application.

Appendices

A.	Authorisation Form Identification	
	No.	Name
	AA01	Credit Institutions
	AA03	Financial Institutions
	AA04	Investment Firms
	AA05	Fund Management
	AA06	Fund Administrators
	AA07	Funds
	AA08	Custodians
	AA10	Trading Venues operated by a Market Operator
	AA11	Securitisations
	AA12	Undertakings
	AA16	Retirement Scheme Administrator
	AA17	Personal Retirement Schemes
	AA18	Occupational Retirement Schemes
	AA19	Other Service Providers
	AA20	Retirement Funds
	AA24	CSPs
	AA25	Trustee/ Fiduciary Services
	AA26	Trustee of Family Trusts
	AA27	Notaries acting as Qualified Persons
	AA30	Crowd Funding Service Providers
B.	Authorisation Form Structure	
B-1	Generic Structure	
Note	The below chart is an indicative outline to the Application structure. Sections and sub-sections within the respective Applications may vary marginally.	

Appendices

	Authorisation Form High Level Guidelines PARTS 1 Applicant Profile 2 Activity & Method of Operations 3 Declarations SECTIONS 1 Applicant Details 2 Applicant Structure and Regulatory History 1 Business Model, Strategy and Activity 3 Risk 5 Conduct 7 AML & CFT 2 Governance 4 Compliance 6 Prudential 8 ICT																																																																																																										
B-2	Specific Structure																																																																																																										
Note	Parts and Sections indicated in blue are relevant to that Application, while those indicated in white are not. The below grid corresponds to the numbering in the Generic Structure in B-1 above. Parts or Sections which are not applicable to an Application are excluded. Thereby numbering of Parts and Sections within an Application which contains less Sections or Parts may differ from the above.																																																																																																										
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Appendices

AA10												
AA11												
AA12												
AA16												
AA17												
AA18												
AA19												
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C. Annexes to the Authorisation Application Forms

Note Each Authorisation Application Form delineates the applicable Annexes, if any.

No.	Name
AX01	Corporate Questionnaire
AX02	Involvement Suitability Assessment
AX03	Outsourcing Assessment
AX04	Abridged ICT Questionnaire
AX05	Extended ICT Questionnaire
AX06	Trading Venues Questionnaire – Part 1
AX07	Trading Venues Questionnaire – Part 2
AX08	CFD and Forex Questionnaire
AX09	Managed AIFs Questionnaire
AX10	Self-Managed AIFs Questionnaire
AX11	Self-Managed UCITS Questionnaire

Appendices

	AX12	SICAVs Questionnaire
	AX13	AIFs Checklist
	AX14	UCITS Checklist
	AX15	PIFs Checklist
	AX18	Trusts and Fiduciaries Additional Questionnaire
	AX19	Passport Intent Questionnaire

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