

application to be considered an alternative investment fund manager (“aifm”) under

the aifmd rules and guidance, 2021

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| full name and address of the applicant: |

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| commission reference number (if already regulated by the commission). please note that a form RA/1 will also require completion if the aifm is not currently licensed under the protection of investors (bailiwick of guernsey) law, 2020: |

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| state whether the applicant is an external or internal aifm: |  |

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| conducting portfolio management and risk management: (yes/no) (if no, provide details) |  |

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| describe the organisational structure of the applicant: |

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| describe the remueration policies and practices adopted by the applicant: |

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| if applicable, provide details of the delegation arrangements: |

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| describe the risk management systems employed by the applicant: |

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| attach evidence to support the applicant’s minimum capital requirement: |

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| if an external aifm, provide the names of the alternative investment fund(s) for which you will act as aifm and wish to opt in to comply with the aifmd rules and guidance, 2021: |

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| provide details of the investment strategy of the alternative investment fund(s), including details of the objectives, leverage and risk profiles, which the applicant manages or intends to manage: |

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| european economic area(s) in which marketing and/or management is to be conducted: |

**DECLARATIONS BY THE APPLICANT:**

1. We certify in accordance with Rule 3.1(1)(h) of The AIFMD Rules and Guidance, 2021, that the proposed Guernsey AIFM:

1. is a legal person;
2. would be the only AIFM of each AIF it managed;
3. will comply with the provisions of The AIFMD Rules and Guidance, 2021;
4. has sufficient initial capital and own funds in accordance with Rule 9.1 of The AIFMD Rules and Guidance, 2021 and relevant provisions relating thereto; and
5. there are at least two persons conducting the business of the proposed Guernsey AIFM pursuant to Schedule 4 of The Protection of Investors (Bailiwick of Guernsey) Law, 2020 (“the POI Law”).
6. We declare that the information given in and with this application is complete and correct to the best of our knowledge and belief and that we are aware of no other facts of which the Commission should be aware. We undertake to inform the Commission promptly of any changes material to the application which occur before it has been determined.
7. We agree to the imposition of these Rules as a condition on our licence, authorisation or registration pursuant to sections 5 and/or 9 of the POI Law. Agreement to this condition will be considered confirmation that the Applicant understands and accepts that it will forgo any right of appeal made available to it under section 57 of the POI Law.

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| Name of first signatory: | |
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| Position: (see Note 1) |  |
|  |  |
| Signature: |  |
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| Name in block capitals: |  |
|  |  |
| Date: |  |
|  |  |
| Name of second signatory: | |
|  |  |
| Position: (see Note 1) |  |
|  |  |
| Signature: |  |
|  |  |
| Name in block capitals: |  |
|  |  |
| Date: |  |

**The Data Protection (Bailiwick of Guernsey) Law, 2017**

For the purpose of the Data Protection (Bailiwick of Guernsey) Law, 2017 please note that any personal data provided to the Commission will be used by the Commission to discharge its regulatory activities and statutory functions. Further information, relating to the Commission’s Data Protection policy, can be located on the website at [www.gfsc.gg/data-protection](http://www.gfsc.gg/data-protection)

**Note 1:** This application form must be signed by two of the directors of the Applicant or in relation to an

unincorporated body, any member of the committee or similar governing body.