



# Application for a Licence or Certificate as a Financial Services Business Provider

F100

## General Part

Legislation		Type of authorization being sought (Tick the applicable type)	Instructions for Completion
Section 4(1) of the Banks and Trust Companies Act, 1990	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	General Banking Restricted Class I Banking Restricted Class II Banking Class I Trust Class II Trust Class III Trust Class II Restricted Trust Class III Restricted Trust	Complete Parts 1, 2 & 6
Section 4(1) of the Company Management Act, 1990	<input type="checkbox"/>	Company Management	Complete Parts 1 & 6
Section 12 of the Insurance Act, 1994	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Category A, B, C and D Insurer Insurance Agent Insurance Broker Insurance Manager Loss Adjuster	Complete Parts 1, 3 & 6
Section 6 of the Securities and Investment Business	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Category 1 - Dealing in Investments Sub-category A - Dealing as Agent Sub-category B - Dealing as Principle Category 2 - Arranging Deals in Investments Category 3 - Investment Management Sub-category A - Managing Segregated Portfolios (Excluding Mutual Funds) Sub-category B - Managing Mutual Funds Sub-category C - Managing Pension Schemes Sub-category D - Managing Insurance Products Sub-category E - Managing Other Types of Investment	

<p>Sections 4 and 12 of the Mutual Funds Regulations, 2010 <b>(Applicable upon enactment and operation of the Mutual Funds Regulations, 2010)</b></p>	<input type="checkbox"/>	<p>Category 4 - Investment Advice Sub-category A - Investment Advice (Excluding Mutual Funds) Sub-category B - Investment Advice (Mutual Funds)</p> <p>Category 5 - Custody of Investments Sub-category A - Custody of Investments (Excluding Mutual Funds) Sub-category B - Custody of Investments (Mutual Funds)</p> <p>Category 6 - Administration of Investments Sub-category A - Administration of Investments (excluding Mutual Funds) Sub-category B - Administration of Investments (Mutual Funds)</p> <p>Category 7 - Operating an Investment Exchange</p> <p>Mutual Fund - Private Mutual Fund - Professional</p> <p>Mutual Fund - Public Recognised Foreign Fund</p>	<p>Complete Parts 1, 4 &amp; 6</p> <p>Complete Part 1 Q.1-5,10,11,15, and Parts 4 and 6</p> <p>Complete Part 1 Q.1-5, 9-11,15,16 and Parts 4 and 6</p>
<p>Section 3 of the Segregated Portfolio Companies Regulations, 2005</p>	<input type="checkbox"/>	<p>Segregated Portfolio Company <b>(Mutual Funds)</b></p> <p>Registration Incorporation</p> <p>Notification of creation of a segregated portfolio Approval to create a segregated portfolio</p>	<p>Complete Part 1 Q.1-5,10,11,15,(also 9 &amp; 16 if in relation to a Public Fund), Part 4 and Part 6</p> <p>Complete Part 1 Q.1-5,10,11,15,(also 9 &amp; 16 if in relation to a Public Fund), Sections 3 and 4 of Part 4, and Part 6</p>
<p>Section 9 of the Financing and Money Services Act, 2009</p>	<input type="checkbox"/>	<p>Financing Business Money Services Business</p>	<p>Complete Parts 1 &amp; 6</p>

<p>"Section 17C(1) of the Banks and Trust Companies Act, 1990; Section 17C(1) of the Company Management Act, 1990; Section 57 (1) of the Insurance Act, 2008 Section 71 (1) of the Securities and Investment Business Act, 2010</p>	<input type="checkbox"/>	<p>Director's/Trustees's Certificate</p>	<p>Complete Part 5A</p>
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**NB: Please note that any applicant may complete Part 5**