



REEFS Form Completion Guide

Application for Virtual Assets Service Provider Registration

(Ref: APP-101-84-05)

Document version: 3.0

Revision History:

Effective Date	Version Number	Revision Description
December 2024	1.0	Initial release of documentation

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1 INTRODUCTION

Regulatory **E**nhanced **E**lectronic **F**orms **S**ubmission (REEFS) is an online portal for electronic submission of required financial services information to the Cayman Islands Monetary Authority (“the Authority”) as well as providing payments information where applicable.

2 FORM INFORMATION

- Form **APP-101-84-05** is to be used when applying to register as a Virtual Assets Service Provider.
- The '+' to the left-hand side of the page, allow for multiple entries, when more than one is applicable for each category, throughout this form.

2.1 VASP REGISTRATION PROCESS

Registration form **APP-101-84-05** and the Inherent Risk form **APP-101-84-05A** have been 'packaged' together into a new Process allowing them to be linked. This will ensure that BOTH forms are submitted to the Authority in order to satisfy the application process.

Users will need to select the "Application for Virtual Assets Service Provider -- **APP-101-84-05**" which will open the initial Registration form. Once the registration form is completed and successfully submitted, the **APP-101-84-05a** form will become available, and you will have the ability to go directly to the **APP-101-84-05a** form, as shown below.

APP-101-84 1695072

Table of Schedules > Submission Successful

Thank you for your submission.

This filing was submitted by [redacted]

Submission Receipt: [redacted]

The following tasks still need to be completed:

- [APP-101-84a - AML Inherent Risk](#)
- [Return to Portal](#)

SQL Power XBRL*Forms 4.3.0

Submitted Requests

Q APP-101-84-05 search Clear

Request Name	Request Id	Organization Id	Organization Name	Filing Due Date	Submitter	Submission Date
- Application for Virtual Assets Service Provider -- APP-101-84-05	1997687	[redacted]	[redacted]		[redacted]	2024/04/03

APP-101-84-05 - Registration Form --- Submitted 2024/04/03 14:13:24 [redacted]

APP-101-84-05a - AML Inherent Risk --- Submitted 2024/04/03 14:15:07 [redacted]

3 ACCESSING AND SUBMITTING THE FORM

3.1 UNDERSTANDING REEFS ROLES AND WORKFLOWS

In **REEFS**, roles must be assigned to allow users to perform certain tasks (assigned in the Workflow). These roles give the users permission to prepare, edit, approve, review and submit etc. based on Workflows.

Please use the online instructions for guidance on how to **Create User accounts**, Assign Roles and details of **Workflows**.

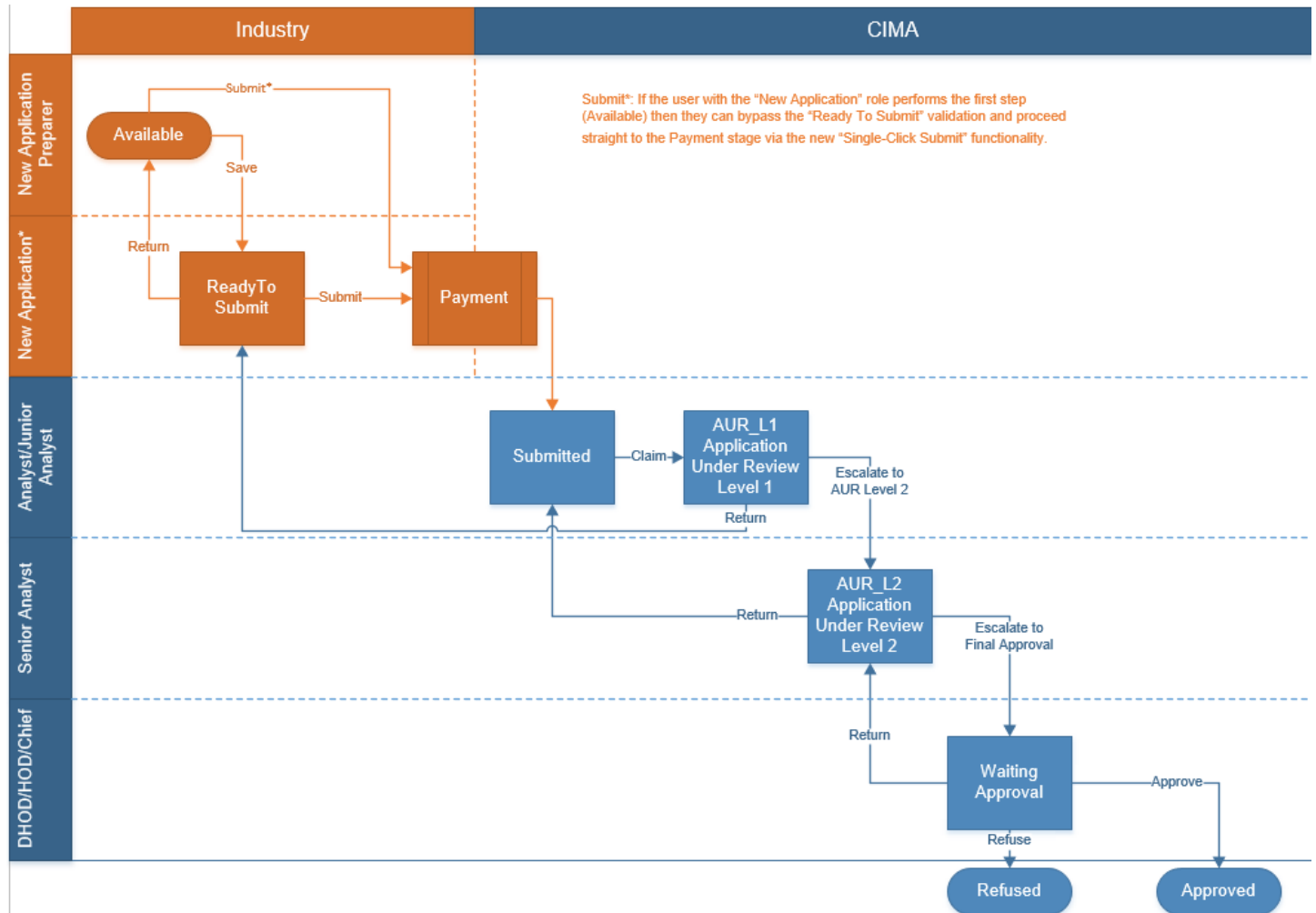
3.2 ROLES REQUIRED FOR APP-**101-84-05**

The following Roles are required for access to this form:

- **New Application Preparer** role
- **New Application** role (this role inherits the above role)

3.3 WORKFLOW USED FOR **APP-101-84-05**

The following Workflow is associated with **APP-101-84-05**. It outlines the steps that must be followed on both the **industry**-side and the **Authority**-side. All steps in the workflow must be completed.



Steps taken on Industry-side:

1. The 'New Application Preparer' prepares the data.
 - a. Once the data has been entered the 'New Application Preparer' can 'Validate' the data, and then either **Save** or delete all the data:
 - i. If **Save** is selected, the status of the application changes to **Ready to Submit**.
 - ii. The application is ready for review by the "New Application" role.
2. Once the 'New Application' role has reviewed the data they can then 'Validate' the data once again.
 - a. Once the data has been validated the options to either **Submit** or **Return** becomes available
 - i. If **Return** is selected, the data is then returned to the 'New Application Preparer' for further review
 - ii. If the **Submit** option is selected, it then goes to the **Payment** processor (if it is applicable)
 1. The status of the application then changes to **Submitted**

Steps taken on Authority-side:

1. Once the application has been Submitted to the Authority, an Analyst can then Claim the submission to begin the review process.
 - a. Once the application has been Claimed, the status of the application changes to **Application Under Review (Level 1) ("AUR_L1")**
 - i. The application is then reviewed and validated by the Analyst
 1. If the application is Returned by the Analyst, it is returned to industry to be resubmitted.
 2. If the application is accepted, it is escalated to the second level of review by a Senior Analyst and the application status changes to **Application Under Review (Level 2) ("AUR_L2")** and the application will continue through the various CIMA approval levels,
 - i. If the application is Returned by the Senior Analyst, it is returned to the Analyst for further review.
 - ii. If the application is accepted it is escalated up to a Chief Analyst for final approval, and the application status changes to **Waiting Final Approval**.
 1. If the application is Returned by the Chief Analyst, it is returned to the Senior Analyst for further review.
 2. If the application is escalated further and then approved by Management Committee the status of the application will be updated by the CIMA representative to **Approved**.
 3. If the application is escalated further but not approved by Management Committee, the status of the application will be updated to **Refused**.

3.4 SUBMITTING / RESUBMITTING

1. Once the application is submitted to the Authority:
 - i. The submitter is notified by email.
 - ii. The status of the application for APP-101-84-05 changes to **Submitted**.
 - iii. The Registration form application will appear under the **Submitted Requests** tab.
2. When a submitted form is returned by Authority:
 - i. The submitter is notified by email regarding the **Return** with notes.
 - ii. The status of the application form APP-101-84-05 changes from **Submitted** to **Return for Amendment**.
 - iii. The Registration form application will appear under the **In-Progress Requests** tab.

3.5 APPLICABLE FEE(S)

The following fee is associated with form **APP-101-84-05**, which can be paid via online escrow payment or cheque:

- **KYD \$1,000.00** Assessment fee upon submission via REEFS for registration.
- For additional fee information, please refer to the regulations.

4 COMPLETION INSTRUCTIONS

ID	Label	Instructions	Validation Rule
Schedule A – Applicant Details			
A01	Is Entity known to CIMA?	Select "Yes" or "No" as appropriate. Yes means the entity already has an existing registration or licence under another regulatory framework	Mandatory field
A01a	Select known Applicant name	Once " Yes" is selected, select the name of the Applicant from the drop-down list. If VAS service is being conducted by a different entity affiliated with the Known CIMA entity. The entity is required to register as NOT known to CIMA.	Mandatory field if A01 is 'Yes'
A01b	Enter name of new Registrant	Entity not Known to CIMA: Entities that currently do not hold a license or registration under any of CIMA regulatory laws but intends to conduct VAS or has been conducting VAS under other laws e.g. CEC entities. State the exact name under which registering entity have been incorporated as it appears on all legal documents (e.g. Certificate of Incorporation, Certificate of Registration, Offering Document, Summary of Terms, Marketing Material, etc. including the appropriate uppercase/lowercase and punctuation marks).	Mandatory field if A01 is 'No'
A02	Identify the services provided or to be provided in or from within the Islands:		
A02(i)	VAS type	Select the type of Virtual Assets Services from the options available within the dropdown list. Use the "+" button to add rows as required. For example, select "Exchange" or "Custodian"	Mandatory field
A02(ii)	Provide/Intent to	Select from the options available within the dropdown list. Use the "+" button to add rows as required.	Mandatory field if details entered in A02(i)
A02(iii)	Date	Use the date-picker to select a date	Mandatory field if details entered in A02(i)
A03	Has the applicant obtained any legal independent advice?	Select 'Yes' or 'No' accordingly.	Optional field
A03a	Attach legal opinion	If 'Yes' was selected at A03, attach the applicant's legal opinion.	Mandatory if A03 is 'Yes'
A04	Intended start of Business	Select date the Applicant intends to commence business activities.	
A04 to A12e will be visible if A01 is 'No'			
A05	Has the applicant been incorporated or established under a previous or different name?	Select 'Yes' or 'No' accordingly.	Optional field
A05(i)	Date Incorporation/ Established	Insert the formation date as it appears on the governing documents of the VASP. Use the "+" button to add rows as required.	Mandatory if A05 is 'Yes'
A05(ii)	Previous/Different Name	State the exact names under which registering entity have been incorporated. This includes change or names and other names that the entity actively operates under. (e.g. Certificate of Incorporation, Certificate of Registration, Offering Document, Summary of Terms, Marketing Material, etc. including the appropriate uppercase/lowercase and punctuation marks). Also include Name change document within the attachments.	Mandatory if A05 is 'Yes'
A05(iii)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Mandatory if A0 is 'Yes'
A06	Provide any trading names (current and previous) under which business has been conducted.		

A06(i)	Date Incorporated/ Established	Insert the formation date as it appears on the governing documents of the VASP. Use the "+" button to add rows as required.	Optional field
A06(ii)	Previous Trading Names	State all previous Name(s) under which the entity traded if different from the current name. State names as they appear within official Documents e.g. Offering Document, Summary of Terms, Marketing Material, etc. including the appropriate uppercase/lowercase and punctuation marks).	Optional field
A06(iii)	Current Trading Names	State all current Names under which the entity trades. State names as they appear within official Documents e.g. Summary of Terms, Marketing Material, etc. including the appropriate uppercase/lowercase and punctuation marks).	Optional field
A06(iv)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Optional field
A07	Date and places of formation (include any licence or registration in other jurisdictions):		
A07(i)	Date Incorporated/ Established	Insert the formation date as it appears on the governing documents of the VASP and its subsidiaries. Use the "+" button to add rows as required.	Optional field
A07(ii)	Jurisdiction	Select the jurisdiction(s) in which the Registering entity has established/incorporated as it appears on the governing documents. Indicate all jurisdictions in which the registering entity have been incorporated or established, include entities that hold no license or registration by jurisdiction.	Mandatory if A07i is completed.
A07(iii)	Registration	Select 'Registration' as appropriate.	Mandatory if A07i is completed.
A07(iv)	Certificates of Incorporations	Select browse and add/open the corresponding document.	Mandatory if A07i is completed.
A07(v)	Evidence of Approval of Registration	Select browse and add/open the corresponding document.	Mandatory if A07i is completed.
A08	Legal entity identifier (if available):	If available, provide Legal Entity Identifier (LEI).	Optional field
A09	Legal structure of applicant	Select the appropriate legal structure from the drop-down list which corresponds with the governing documents of the registering entity.	Mandatory field if A01 is 'No'
A10	Attach organisational chart if applicable	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Optional field
A10a	Attach Group organisational ownership chart if applicable	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Optional field
A10b	Provide Regulated status regulated services and jurisdictions of group affiliated entities, including details of services provided, if applicable	Select browse and add/open the corresponding document.	Optional field
A11	Provide certificate of incorporation or registration or official record of formation.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Mandatory field if A01 is 'No'
A12	Company, partnership or limited liability company registration number of the applicant:	Add the entire alpha-numerical value listed on the Certificate of Incorporation including all letters, numbers and punctuation marks. This value is typically located within the top left corner of the Certificate of Incorporation/Registration from the Registrar.	Mandatory field if A01 is 'No'
A12a	FYE Month	Select the day of the financial year end from the options available within the drop-down list.	Mandatory field if A01 is 'No'
A12b	FYE DAY	Select the month of the financial yearend from the options available within the drop-down list.	Mandatory field if A01 is 'No'
A12c	Reporting Currency	Indicate the primary currency used	Mandatory field if A01 is 'No'
A12d	Accounting Principles	Select the accounting principles from the options available within the drop-down list.	Mandatory field if A01 is 'No'
A12e	Auditing Standards	Select the auditing standards from the options available within the drop-down list.	Mandatory field if A01 is 'No'
A13	Blockchain address (if applicable)	Add the entire alpha-numerical value listed including all letters, numbers and punctuation marks.	Optional field

A14	Where is/are your server locations?	Provide the location of your core technology infrastructure	Optional field
A15	Does the applicant conduct virtual asset services ("VAS") business in another jurisdiction?	Select 'Yes' or 'No' as appropriate	Mandatory field
A15a will be visible if A15 is 'Yes'			
A15a(i)	Jurisdiction	Select the jurisdiction from the options available within the dropdown list. Use the "+" button to add rows as needed.	Mandatory field if A15 is 'Yes'
A15a(ii)	Date VAS Business Started	Use the date picker to add the correct date. Date should reflect the date the registering entity started conducting Virtual Asset Service business.	Mandatory field if A15 is 'Yes'
A15a(iii)	Registration or Licence	Select all applicable types from the options available within the drop-down list.	Mandatory field if A15 is 'Yes'
A15a(iv)	License/Registration Number/ID	Add the entire alpha-numerical value listed on the registration /licence approval certificate(s) or letter(s) issued by the appropriate Regulator(s).	Mandatory field if A15 is 'Yes'
A15a(v)	Regulator Name	Select the name of the regulator from the options available within the drop-down list. If the name of the Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other...". Once this option has been selected, additional fields will populate where the name of the new regulator can be added.	Mandatory field if A15 is 'Yes'
A15a(vi)	Type of VAS	Select the type(s) of the virtual Assets Services from the options available within the drop-down list. If the type is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other...". Once this option has been selected, additional fields will populate where the name of the new regulator can be added.	Mandatory field if A15 is 'Yes'
A15a(vii)	Details of Other type	Provide details as appropriate.	Mandatory field if A15(vi) is 'Other'
A15a(viii)	Requirements	Indicate the details of all Requirements imposed per Registration and /or License by the issuing Regulator. Insert "Not Applicable" if not applicable.	Mandatory field if A15 is 'Yes'
A15a(ix)	Restrictions	Indicate the details of all Restrictions imposed per Registration and /or License by the issuing Regulator. Insert "Not Applicable" if not applicable.	Mandatory field if A15 is 'Yes'
A15a(x)	Prohibitions	Indicate the details of all Prohibitions imposed per Registration and /or License by the issuing Regulator.	Mandatory field if A15 is 'Yes'
A15a(xii)	Office / Presence	Indicate whether there is a physical office or presence have been established in each jurisdiction selected. Select 'Yes' or 'No' accordingly.	Mandatory field if A15 is 'Yes'
A15b	Is the applicant licensed or registered to conduct virtual asset services (VAS) business in another jurisdiction?	Select 'Yes' or 'No' as appropriate. List all jurisdictions where the applicant is registered or licensed to conduct virtual asset business.	Mandatory field
A16	Identify any virtual asset services provided in a jurisdiction other those listed in A15b		
A16(i)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Optional field
A16(ii)	Type of VAS	Select the type(s) of the virtual Assets Services from the options available within the drop-down list. If the type is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other...". Once this option has been selected, additional fields will populate where the name of the new regulator can be added. This include virtual assets services which you are NOT currently regulated. Use the "+" button to add rows as required.	Optional field
A16(iii)	Details of Other Type (if applicable)	Provide details as appropriate.	Mandatory field if A16(ii) is 'Other'

A17	Does the applicant hold or plan to acquire controlling interest in another person or legal arrangement engaged in virtual asset service and or financial services in this or any other jurisdiction?	Select as appropriate.	Mandatory field
A18 will be visible if A17 is 'Yes'			
A18(i)	Jurisdiction	Select the jurisdiction from the options available within the dropdown list.	Mandatory field if A17 is 'Yes'
A18(ii)	Holding Status	Select the appropriate status from the options available within the dropdown list.	Mandatory field if A17 is 'Yes'
A18(iii)	Entity Type	Select the appropriate legal structure from the drop-down list which corresponds with the governing documents of the registering entity.	Mandatory field if A17 is 'Yes'
A18(iv)	Entity Name	State the exact names under which registering entity have been incorporated as appear on all legal documents (e.g. Certificate of Incorporation, Certificate of Registration, Offering Document, Summary of Terms, Marketing Material, etc. including the appropriate uppercase/lowercase and punctuation marks).	Mandatory field if A17 is 'Yes'
A18(v)	Legal identifier (if any)	If available, provide Legal Entity Identifier (LEI) (if Applicable).	Optional field
A18(vi)	Percentage	Indicate the numeric value reflective of the percentage of controlling interest acquired/hold.	Mandatory field if A17 is 'Yes'
A19	Have the applicant, its affiliated entities, Ultimate Beneficial Owners (UBOs), shareholders, directors/senior officers, or any combination thereof, faced penalties, enforcement actions, or become subjects of criminal or regulatory investigations in any other jurisdiction?	Select as appropriate.	Mandatory field
A19a will be visible if A19 is 'Yes'			
A19(i)	Type of Penalty	Once "Yes" has been selected, indicate all type(s) of penalties applied from the options available within the drop-down list (penalties include Administrative Fines, Civil Actions, Enforcement Actions.	Mandatory field if A18 is 'Yes'
A19(ii)	Details	Indicate the details of all penalties imposed per by the issuing Regulator. Use the "+" button to add rows as required.	Mandatory field if A18 is 'Yes'
A19(iii)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Mandatory field if A18 is 'Yes'
A19(iv)	Regulator Name	Select the name of the regulator from the options available within the drop-down list. If the name of the Regulator is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other...". Once this option has been selected, additional fields will populate where the name of the new regulator can be added.	Mandatory field if A18 is 'Yes'
A19(v)	Supporting Document	Select browse and add/open the corresponding document.	Optional field
A20 to A21 will be visible if A01 is 'No'			
A20	Primary Contact Name	Provide details as appropriate.	Mandatory field if A01 is 'No'
A21	Email address	Provide details as appropriate.	Mandatory field if A01 is 'No'
Schedule B – Service Providers (this section is available if Entity is <u>not</u> known to CIMA)			
B01	Name of Registered Office	Select Registered Office from drop-down list.	Mandatory field if A01 is 'No'

FEE PAYMENTS			
B02	Fee Payments – same as Register Office?	Select as appropriate.	Mandatory field if A01 is 'No'
B03	If no, provide Name if Entity responsible for Ongoing Queries	Provide details as appropriate.	Mandatory field if B02 is 'No'
B03a	Building, Floor, Suite	Building, Floor, Suite.	Optional field
B03b	Street Name and Number	Street Name and Number.	Mandatory field if B02 is 'No'
B03c	P.O. Box	P.O. Box.	Mandatory field if B03g will be 'Cayman Islands'
B03d	City	City.	Mandatory field if B02 is 'No'
B03e	Province / State	Province / State.	Mandatory field if B02 is 'No'
B03f	ZIP / Postal Code	ZIP / Postal Code.	Mandatory field if B02 is 'No'
B03g	Country	Country.	Mandatory field if B02 is 'No'
B03h	Telephone Number	Telephone Number.	Mandatory field if B02 is 'No'
B03i	Email address	Email address.	Mandatory field if B02 is 'No'
B04	Cayman Auditor (Local Audit sign-off)	Indicate a Cayman Islands certified Auditor.	Mandatory field if A01 is 'No'
B05	Attach Auditor's Consent Letter	Select browse and add/open the corresponding document.	Mandatory field if A01 is 'No'
B06	Besides AML are other functions outsourced, including to affiliates?		
B06a	Type of services	Add the nature of services outsourced.	Mandatory field
B06b	Service provider name	Include the name of the service provider.	Mandatory field
B06c	Service provider country	Select the Country from the options available within the dropdown list.	Mandatory field
B06d	Copy of agreements	Select browse and add/open the corresponding document.	Mandatory field
B06e	Outsourcing Log	Select browse and add/open the corresponding document.	Optional field
Schedule C – Structure			
Corporate Legal Structures – (C01 to C07 will be visible if A08 is a 'Corporate Structure')			
C01	Attach Register of Directors	Select browse and add/open the corresponding document.	Mandatory field if A09 is a 'Corporate Structure'
Director Information (Persons) Indicate details of "Supervisors and Members if entity is a foundation"			
C02(i)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory
C02(ii)	CIMA ID (if known)	Enter the unique 7-digit number the Director has been assigned by the Authority.	Optional field
C02(iii)	Title	Select from the options available within the drop-down list.	Optional field
C02(iv)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C02(i)
C02(v)	Middle Name	Complete as appropriate.	Optional field
C02(vi)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C02(i)

C02(vii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C02(i)
C02(viii)	Country of Birth	Select the Country from the options available within the dropdown list.	Mandatory field if Other is selected in C02(i)
C02(ix)	Other Nationalities:	Complete as appropriate.	Mandatory field if Other is selected in C02(i)
C02(x)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C02(i)
C02(xi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)
C02(xii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)
C02(xiii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)
C02(xiv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)
C02(xv)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)
C02(xvi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(i)

C02(xvii)	Other Information	Complete as appropriate.	Mandatory field if Other is selected in C02(i)
C03	Corporate Director Name	Insert the full name of corporate director. Indicate details of "Corporate Supervisors and Members if entity is a foundation"	Optional field
C04	Country of Formation	Select the country from the options available within the dropdown list.	Mandatory field if name is entered in C03
C05	CIMA ID (if applicable)	Enter the unique 7-digit number the Director has been assigned by the Authority.	Optional field
C06	Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
Details of Principals of Corporate Director (if applicable)			
C07(i)	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
C07(ii)	CIMA ID (if applicable)	Enter the unique 7-digit number the Director has been assigned by the Authority. Use the "+" button to add rows as required.	Optional field
C07(iii)	Title	Select from the options available within the drop-down list.	Optional field
C07(iv)	First name	Complete as appropriate.	Mandatory field if Other is selected in C07(i)
C07(v)	Middle Name	Complete as appropriate.	Optional field
C07(vi)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C07(i)
C07(vii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C07(i)
C07(viii)	Country of Birth	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C07(i)
C07(ix)	Other Nationalities	Complete as appropriate.	Mandatory field if Other is selected in C07(i)
C07(x)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C07(i)
C07(xi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)
C07(xii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)

C07(xiii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)
C07(xiv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)
C07(xv)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)
C07(xvi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C07(i)
C07(xvii)	Other Information	Complete as appropriate.	Mandatory field if Other is selected in C07(i)
Trust Structures – (C08 will be visible if A09 is a 'Trust')			
C08	Trustee	Select the Trustee from the dropdown list	Mandatory field if A08 is a 'Trust'
Partnerships – (C09 to C11 will be visible if A09 is a 'Partnership')			
C09	Name of General Partner	Enter the name of the General Partner	Mandatory field if A08 is a 'Partnership'
C10	Enter Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
Principals of the General Partner or Managing Members			
C11(i)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory field
C11(ii)	CIMA ID (if applicable)	Enter the unique 7-digit number the Director has been assigned by the Authority. Use the "+" button to add rows as required.	Optional field
C11(iii)	Title	Select from the options available within the drop-down list.	Mandatory field if Other is selected in C011(i)
C11(iv)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C011(i)
C11(v)	Middle Name	Complete as appropriate.	Mandatory field if Other is selected in C011(i)

C11(vi)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C011(i)
C11(vii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C011(i)
C11(viii)	Country of Birth	Select the Country from the options available within the dropdown list.	Mandatory field if Other is selected in C011(i)
C11(ix)	Other Nationalities:	Complete as appropriate.	Mandatory field if Other is selected in C011(i)
C11(x)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C011(i)
C11(xi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)
C11(xii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)
C11(xiii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)
C11(xiv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)
C11(xv)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)
C11(xvi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C011(i)

Senior Officers (excluding AML officers, see section below)

C12(i)	Title	Select from the options available within the drop-down list.	Optional field
C12(ii)	Other position	Complete as appropriate.	Optional field
C12(iii)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory
C12(iv)	CIMA ID (if known)	Enter the unique 7-digit number the Director has been assigned by the Authority. Use the "+" button to add rows as required.	Optional field
C12(vi)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C012(iii)
C12(vii)	Middle Name	Complete as appropriate.	Optional field
C12(viii)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C012(iii)
C12(ix)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C012(iii)
C12(x)	Country of Birth	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C012(iii)
C12(xi)	Other Nationalities:	Complete as appropriate.	Mandatory field if Other is selected in C012(iii)
C12(xii)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C012(iii)
C12(xiii)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(iii)
			Mandatory field if Other is selected in C012(iii)

C12(xiv)	Character Reference 1	Select browse and add/open the corresponding document.	
C12(xv)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(iii)
C12(xvi)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(iii)
C12(xvii)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(iii)
C12(xviii)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(iii)
C12(xviii)	Other Information	Complete as appropriate.	Optional field
Shareholders: (list all shareholders and beneficial interest holders who are natural persons)			
C13(i)	Persons/Company	Select from drop down list.	Mandatory field
C13(ii)	Percentage holding	Indicate the numeric value representing the percentage of shares hold.	Mandatory field
C13(iii)	Type of share	Select the type of shares from the options available within the drop-down list.	Mandatory field
C13(iv)	Number of Shares	Insert the number of shares	Mandatory field
C13(v)	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
C13(vi)	CIMA ID (if applicable)	Enter the unique 7-digit number the Director has been assigned by the Authority. Use the "+" button to add rows as required.	Optional field

C13(vii)	Title	Select from the options available within the drop-down list.	Optional field
C13(viii)	First Name/Corporate Name	Insert the first name of the shareholder (for individuals) or the full name of corporate shareholder.	Mandatory field if Other is selected in C013(v)
C13(ix)	Middle Name	Complete as appropriate.	Optional field
C13(x)	Last name	Enter the last name of shareholder (for individuals)	Optional field
C13(xi)	Date of Birth / Formation	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C013(v)
C13(xii)	Date of Formation	Use the date picker to add the correct date of birth.	Optional field
C13(xiii)	Country of Birth / Formation	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C013(v)
C13(xiv)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C013(v)
C13(xv)	Primary country of residence / place of business	Select the Country from the options available within the dropdown list.	Mandatory field if Other is selected in C013(v)
C13(xvi)	Ultimate Beneficial Owner?	If the shareholder is a beneficial Owner, select "Yes"; otherwise, select "No".	Mandatory field
C13(xvii)	Nominee shareholder?	If the VASP has Nominee shareholder, select "Yes"; otherwise, select "No". A nominee is a person or entity into whose name shares or other properties are transferred to/held on behalf of the nominator to facilitate transactions while leaving the nominator as the actual beneficial owner.	Mandatory field
C13(xviii)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xix)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xx)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xxi)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xxii)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xxiii)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(v)
C13(xxiv)	Evidence of Source of Wealth/Funds	Complete as appropriate	Mandatory field if Other is selected in C013(v)
C13(xviii)	Other Information	Complete as appropriate.	Optional field

C14	Attach Shareholder register	Select browse and add/open the corresponding document. If there was a change, also include this document within the attachment. Browse and upload register Supervisors and Members if entity is a foundation	Mandatory field
Schedule D – AML Officers			
D00i	Is the AML function outsourced?	If the AML function is outsourced, select "Yes"; otherwise, select "No".	Mandatory field
D00ii	AML/CFT service provider name	If the AML function is outsourced, insert the name of the AML/CFT service provider.	Mandatory field if D00i is 'Yes'
D00iii	AML/CFT service provider country	If the AML function is outsourced, select the country in the dropdown list from which the appointed AML/CFT service provider operates.	Mandatory field if D00i is 'Yes'
D00iv	AML/CFT service provider email	If the AML function is outsourced, insert the email address of the AML/CFT service provider.	Mandatory field if D00i is 'Yes'
D00v	AML/CFT – Copy of outsourced agreements (third party or affiliates)	Select browse and add/open the corresponding document.	Mandatory field if D00i is 'Yes'
Details of Anti-Money Laundering Compliance Officer (AMLCO)			
D01	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
D01a	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D02	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D03	First Name	Complete as appropriate.	Mandatory field if Other is selected in D01
D04	Middle Name	Complete as appropriate.	Optional field
D05	Last Name	Complete as appropriate.	Mandatory field if Other is selected

			in D01
D06	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D01
D07	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D01
D08	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D01
D09	Other names (Aliases)	Complete as appropriate.	Optional field
D10	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D01
D11	Employer	Complete as appropriate.	Mandatory field if Other is selected in D01
D12	P.O. Box	Complete as appropriate.	Mandatory field if Other is selected in D01
D13	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D01
D14	City	Complete as appropriate.	Mandatory field if Other is selected in D01
D15	State / Province	Complete as appropriate.	Mandatory field if Other is selected in D01
D16	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D01
D17	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D01
D18	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D01
D19	Facsimile Number	Complete as appropriate.	Optional field
D20	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D01
D21	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D22	Qualifications:		
D22(i)	Description	Complete as appropriate.	Optional field
D22(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D22(i)
D22(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D22(i)

D22(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D22(i)
Details of Deputy Anti-Money Laundering Compliance Officer (DAMLCO)			
D23	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
D23a	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D24	Prefix	Select from the options available within the drop-down list	Optional field
D25	First Name	Complete as appropriate.	Mandatory field if Other is selected in D23
D26	Middle Name	Complete as appropriate.	Optional field
D27	Last Name	Complete as appropriate.	Mandatory field if Other is selected in D01
D28	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D01
D29	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D01
D30	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D01
D31	Other names (Aliases)	Complete as appropriate.	Optional field
D32	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D01
D33	Employer	Complete as appropriate.	Mandatory field if Other is selected in D01
D34	P.O. Box	Complete as appropriate.	Mandatory field if Other is selected in D01
D35	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D01

D36	City	Complete as appropriate.	Mandatory field if Other is selected in D01
D37	State / Province	Complete as appropriate.	Mandatory field if Other is selected in D01
D38	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D01
D39	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D01
D40	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D01
D41	Facsimile Number	Complete as appropriate.	Mandatory field if Other is selected in D01
D42	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D01
D43	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D44	Qualifications:		
D44i	Description	Complete as appropriate.	Optional field
D44ii	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D44(i)
D44iii	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D44(i)
D44iv	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D44(i)

Details of Money Laundering Reporting Officer (MLRO)			
D45	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
D45a	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D46	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D47	First Name	Complete as appropriate.	Mandatory field if Other is selected in D45
D48	Middle Name	Complete as appropriate.	Optional field
D49	Last Name	Complete as appropriate.	Mandatory field if Other is selected in D45
D50	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D45
D51	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D45
D52	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D45
D53	Other names (Aliases)	Complete as appropriate.	Mandatory field if Other is selected in D45
D54	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D45
D55	Employer	Complete as appropriate.	Mandatory field if Other is selected in D45
D56	P.O. Box	Complete as appropriate.	Mandatory field if Other is selected in D45
D57	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D45
D58	City	Complete as appropriate.	Mandatory field if Other is selected in D45
D59	State/ Province	Complete as appropriate.	Mandatory field if Other is selected in D45
D60	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D45
D61	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D45
D62	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D45
D63	Facsimile Number	Complete as appropriate.	Optional field

D64	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D45
D65	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D45
D66	Qualifications:		
D66(i)	Description	Complete as appropriate.	Optional field
D66(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D66(i)
D66(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D66(i)
D66(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D66(i)
Details of Deputy Money Laundering Reporting Officer (DMLRO)			
D67	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
D67a	CIMA ID (if known)	Insert the unique 7 digits number provided by the Authority, e.g. director ID if known. If an ID number has been issued by the Authority, this number is required to ensure accurate records.	Optional field
D68	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D69	First Name	Complete as appropriate.	Mandatory field
D70	Middle Name	Complete as appropriate.	Optional field
D71	Last Name	Complete as appropriate.	Mandatory field
D72	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D67
D73	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D67
D74	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D67
D75	Other names (Aliases)	Complete as appropriate.	Optional field
D76	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D67
D77	Employer	Complete as appropriate.	Mandatory field if Other is selected in D67
D78	P.O. Box	Complete as appropriate.	Mandatory field if Other is selected in D67
D79	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D67

D80	City	Complete as appropriate.	Mandatory field if Other is selected in D67
D81	State/ Province	Complete as appropriate.	Mandatory field if Other is selected in D67
D82	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D67
D83	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D67
D84	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D67
D85	Facsimile Number	Complete as appropriate.	Optional field
D86	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D67
D87	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D67
D88	Qualifications:		
D88(i)	Description	Complete as appropriate.	Optional field
D88(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D88(i)
D88(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D88(i)
D88(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D88(i)

Schedule E – Virtual Asset Services Provided

Provide the following for each virtual asset service provided or to be provided

E01(i)	Type of Virtual Asset Service	Select the Virtual Asset Services from the options available within the drop-down list.	At least one selection is mandatory.
E01(ii)	Type of Virtual Asset Service: Other (if applicable)	Provide details as appropriate	Optional field
E01(iii)	Revenue Type (Actual or Projected Values)	Select as appropriate from drop-down list	Mandatory field
E01(iv)	VAS Value/Revenue	Select as appropriate from drop-down list	Mandatory field
E01(v)	Value (USD)	Complete as appropriate	Mandatory field

E01(vi)	How VAS is being offered	Select the how Virtual Asset Services are being offered from the options available within the drop-down list	Mandatory field
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E01(vii)	How Public Receive VAS	Select the how Virtual Asset Services are being offered from the options available within the drop-down list. i.e. Direct, Third Party, other virtual platform delivery channels.	Mandatory field
E01(viii)	Nature	Complete as appropriate. Nature include fungibility, reliance on cryptography and use of DLT or Similar technology, volatility (stable or non-backed)	Mandatory field
E01(ix)	Function	Complete as appropriate. Functions include Payment and exchanges, investment / Securities, Utility Access.	Mandatory field
E01(x)	Purpose	Complete as appropriate. Purpose includes transaction speed, created purpose,	Mandatory field
E01(xi)	Attach Document with details	Select browse and add/open the corresponding document e.g. Business plan/case and VA Valuation Methodology	Optional field
List the types of virtual assets which will be utilized while providing the virtual asset service:			
E02(i)	Type of VAS	Select the" Virtual Asset Types "(i.e. bitcoin, "Ethereum, ripple etc) from the options available within the drop-down list. If the name of the Virtual Asset Type is not available within the drop-down list, then scroll down to the bottom of the drop-down list and select the option for "Other...". Once this option has been selected, additional fields will populate where the name of the new type of VAS can be added. Use the "+" button to add rows as required.	At least one selection is mandatory.
E02(ii)	Virtual Asset Types: Other (if applicable)	Enter details as appropriate	Mandatory field if E02(i) is 'Other'
E02(iii)	Total Digital Assets USD	Indicate the Monetary value of the Virtual Assets	Mandatory field
E02(iv)	Number of Clients (if Applicable)	Indicate the expected number of clients (estimate can be provided based on year 1 expectations)	Optional field
List the key risks including liquidity, operational, marketing, cyber, etc... associated with the virtual asset service, including data security risks, and steps put in place to mitigate these risks, including any insurance arrangements:			
E03(i)	Type of VAS	Select the Virtual Asset Services from the options available within the drop-down list.	At least one selection is mandatory.
E03(ii)	Other (if applicable)	Enter details as appropriate	Optional field
E03(iii)	Associated Risk type (including data security risks)	Select the risk type from the options available within the drop-down list.	Optional field
E03(iv)	Risk Other (if applicable)	Enter details as appropriate	Optional field
E03(v)	Mitigating Steps	Insert details of the risk type selected above. Please do not insert a comment to refer to specific pages of the any documents uploaded but rather insert a summary or copy text from the document which explains the actual mitigating steps.	Optional field
E03(vi)	Policy Documents (if applicable)	Select browse and add/open the corresponding document.	Optional field
E04a	Attach IT and Cyber Security Policy	Select browse and add/open the corresponding document.	Mandatory field

E04b	Attach Crypto wallet management policy	Select browse and add/open the corresponding document.	Optional field
E04c	Attach Business Plan/business model	Select browse and add/open the corresponding document.	Mandatory field
E04d	Attach Transaction flow chart	Select browse and add/open the corresponding document.	Mandatory field
Provide details on the procedures put in place in accordance with the Law to combat money laundering, terrorist financing and proliferation financing and to ensure compliance with Anti-Money Laundering Regulations:			
E05(i)	AML/CFT/PF/TFS Policies and Procedures	Insert the name(s) of the specific policies and procedures or contents thereof. Please do not insert a comment to refer to specific pages of the any documents uploaded but rather insert a summary or copy text from the document which explains the actual mitigating steps.	At least one selection is mandatory.
E05(ii)	Details	Insert details of the policies and procedure stated above. Please do not insert a comment to refer to specific pages of the any documents uploaded but rather insert a summary or copy text from the document which explains the actual mitigating steps.	Mandatory field if details were
E05(iii)	Policy Documents	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Mandatory field
E06	Provide an outline of internal safeguards and data protection systems that will be put in place to protect the assets and data of clients:		
E06(a)	Details	Provide a summary of the policies and procedures for cybersecurity and data protection which should then be upload in E6 (b).	Mandatory field
E06(b)	Attach supporting documentation	Select browse and add/open the corresponding document.	Optional field
E07	Internal Safeguards Asset protection (Business Model Description, Business strategy and Risk Appetite)		
E07(i)	Details	Provide a summary of the policies and procedures for business controls and data protection. which should then be upload in E07(ii).	Mandatory field
E07(ii)	Attach supporting documentation	Select browse and add/open the corresponding document.	Optional field
E08	Provide the financial records of the applicant for the last two years showing past revenue, assets and liabilities, if available, and projected revenue and expenses and an outline of capital which will be available to support the applicant:		
E08(a)	Last Year	Select browse and add/open the corresponding document. Attachments should reflect the Last Financial year	Optional field
E08(b)	Prior Year	Select browse and add/open the corresponding document. Attachments should reflect the year prior to the Last Financial	Optional field
E08(c)	Projected Financials	Select browse and add/open the corresponding document. Attachments should reflect the projected financials for the Applicants first 3 years of operations.	Optional field
E09	Will the service provider be engaged in any securities investment business as defined under the Securities Investment Business Law?	Select "Yes" or "No" as appropriate. If Yes, select the business activities from the options below:	Mandatory field
E10a	Securities Advisor	Select "Yes" or "No" as appropriate.	Mandatory field if E09 is 'Yes'
E10b	Securities Arranger	Select "Yes" or "No" as appropriate.	Mandatory field if E09 is 'Yes'
E10c	Securities Manager	Select "Yes" or "No" as appropriate.	Mandatory field if E09 is 'Yes'
E10d	Broker Dealer	Select "Yes" or "No" as appropriate.	Mandatory field if E09 is 'Yes'
E10e	Market Maker	Select "Yes" or "No" as appropriate.	Mandatory field if E09 is 'Yes'

E11	Provide details on the compliance arrangements, including the relevant policies and procedures and the use of resources (including technological tools) in place in accordance with the Law to comply with the Travel Rule related provisions as outlined in the Anti-Money Laundering Regulations:		
E11(ii)	Details of the Travel rule Policies and Procedures	Insert details of the policies and procedures. Please do not insert a comment to refer to specific pages of the any documents uploaded but rather insert a summary or copy text from the document which explains the actual mitigating steps.	Mandatory field
E11(iii)	Policy Documents	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Mandatory field

Schedule F – Licence Applicant Additional General Details

F01	Governance policies and procedures	Insert brief details on the governance policies and procedures covering at a minimum the areas noted. Please do not insert a comment to refer to specific pages of the any documents uploaded but rather insert a summary or copy text from the document which explains the actual mitigating steps.	Mandatory field
F01(i)	Policy Documents	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Mandatory field
F02	Business continuity plan	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
F03	Complaints handling policy	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
F04	Risk management policy	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field

5 REUSING PREVIOUS SUBMISSIONS

What is “XBRL”?

XBRL (eXtensible Business Reporting Language), is a standards-based way to communicate and exchange business information between business systems.

Data can be used from another APP-101-84-05 form instead of starting from fresh. You must have entered data into at least one form using the online portal and have successfully validated it.

- Example: Rapidly re-using another **APP-101-84-05**

application Process:

1. Select “**Submitted Requests**” to view previously submitted forms and select the one that contains the data.
2. Click on “**Download: XBRL Instance**” in the top right corner and save the file to your PC or network drive.
3. Close the form.
4. Select “**New Request**” and select the required new/empty form (e.g. APP-101-84-05).
5. Click on “**Upload: XBRL Instance**” in the top right corner under “Validate”.
6. Click on “**Browse...**” and navigate to the file that was saved in step 2 above (usually in the “Downloads” folder).
7. Click “**Upload**”.
8. The system will then copy each data point from the XBRL file into the fields of the current form.
9. The system displays the message “**Import Successful**” to indicate that the data was all copied OK.
10. The user can then review and alter the data as required. Note that any file attachments are not copied in by the download and upload processes.
11. Proceed as usual through the rest of the validation process.

These instructions can be used for **New Application forms**, **Change Request forms** and **Financial Returns**.

6 TROUBLESHOOTING

Validation '**Errors**' will prevent the submission of a form, however, '**Cautions**' do not.

6.1 COMMON VALIDATION RULES

The application form cannot be submitted until the **errors** are corrected

6.1.1. Validation Errors

- Required data

Details of Anti-Money Laundering Compliance Officer (AMLCO)

Known Person (with CIMA ID) ? D01 Other

CIMA ID (if known) ? D01a

Prefix ? D02 (Not Reported)

First Name ? D03

AML Officer age must be 18 years or older.

Last Name ? D05

Date of Birth ? D06 04-Nov-2021

This error is displayed as a tooltip message that appears when the field is marked as mandatory and has not been completed

SCHEDULE A - Applicant Details

Mandatory Field

Is Entity known to CIMA? ? A01 Yes No

- Data Type check

This type of error message appears if the input data is in an incorrect format for the field or if the entered data does not match the required data type for the field

Please enter valid phone number.

Zip / Postal Code ? D17

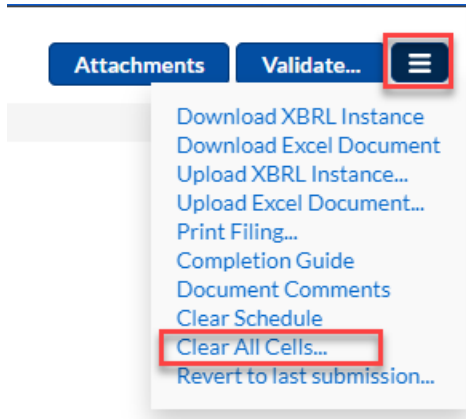
Phone Number ? D18 OneTwo

- Validation rules

This error appears as a tooltip message when the value entered for the respective field does not satisfy the validation criteria required for the field

6.2 UNDERSTANDING OTHER ERRORS

If you are receiving errors related to attachments or that you do not understand, please select 'Clear All Values' from the form menu in the top right-hand corner. Using this feature will clear all responses and remove any attachments that have been uploaded. Once cleared, you can resume the submission.



If you are still experiencing technical difficulties, please send an email to VASPinfo@cima.ky along with a screen shot of the error message you are receiving, for issue to be addressed by the Information Systems Team.