



REEFS Form Completion Guide
Application for Virtual Assets Service Provider
Registration, License and Waiver (Ref: APP-101-84-05)

Document version: 2.0

Revision History:

| Effective Date | Version Number | Revision Description |
|----------------|----------------|--|
| December 2024 | 1.0 | Initial release of documentation |
| March 2025 | 2.0 | Amendment and second 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.

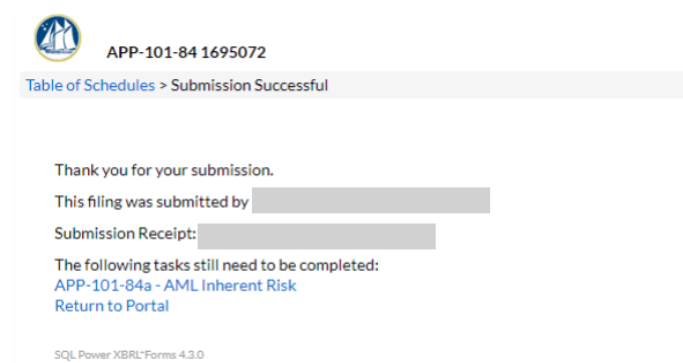
2 FORM INFORMATION



- Form **APP-101-84-05** is to be used when applying for registration, licence or waiver as a Virtual Assets Service Provider. Note this is an interim form used for the initial transition to licensing period and the form will be updated in due course. As a result, all applicants for licensing and waiver will be further required to upload additional documents using a zip file in schedule “I” and “J” of the form as further explained below.
- 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

Application 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 application form. Once the application 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.



| Home | Filings | Submitted Filings | New Request | In-Progress Requests | Submitted Requests | Payments | Escrow Account | Organization Management | FAQ |
|---|--|-------------------|-------------------|----------------------|--------------------|-----------------|----------------|-------------------------|-----|
| 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 | | | | | 2024/04/03 | | | |
|  | APP-101-84-05 - Registration Form --- Submitted 2024/04/03 14:13:24 | | | | | | | | |
|  | APP-101-84-05a - AML Inherent Risk --- Submitted 2024/04/03 14:15:07 | | | | | | | | |

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**.

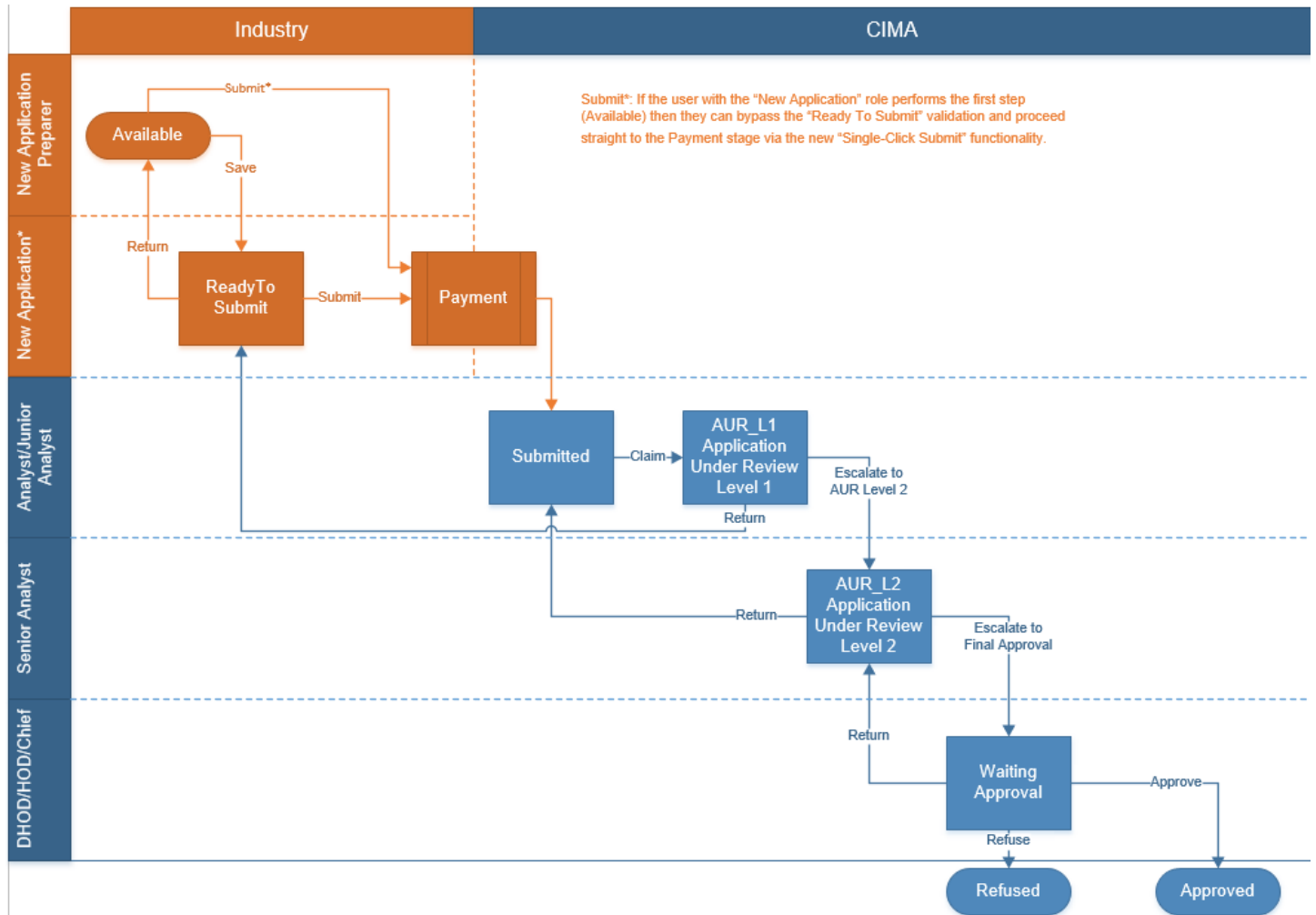
3.2 ROLES REQUIRED FOR APP-101-84-05

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, 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 to the Division Head 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
- **KYD \$5,000.00** Assessment fee upon submission via REEFS for license

For additional fee information, please refer to the regulations

4 COMPLETION INSTRUCTIONS

| ID | Label | Instructions | Validation Rule |
|---|--|---|--|
| Schedule A – Applicant Details | | | |
| A00 | Is the Entity applying for Registration, Licence or Waiver? | Select from options available within the drop down list | Mandatory field |
| 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 Applicant | 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. As this is an interim version of the form, the services listed in the dropdown do not encompass licensing services. Where licensing services are to be provided, applicants should select any option from the dropdown list and include details of the actual services in Schedule I for licensing application and Schedule J for waiver request. | 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' |

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|-----------------|---|--|---------------------------------|
| 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 or Licence | Select 'Registration' or 'Licence' 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' |

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|---|---|--|---------------------------------------|
| 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 |

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| 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 |

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| | | | 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) |

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| 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) |

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| 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 |

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| 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) |
| | | | Mandatory field if |

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| C12(xiii) | Personal Questionnaire | Select browse and add/open the corresponding document. | Other is selected in C012(iii) |
| C12(xiv) | Character Reference 1 | Select browse and add/open the corresponding document. | Mandatory field if Other is selected in C012(iii) |
| 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(xiv) | 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 |

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|-------------------|--|---|---|
| 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 |

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| | | | 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 |

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| 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 |
| | | | Mandatory field if |

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| D22(ii) | Date | Use the date picker to add the correct date. | 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 |

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| 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) |

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| 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) |
| 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 |

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| 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 |

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| 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 |

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|-----------------|------------------------|---|---|
| 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 |
| 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 |

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|---|---|--|--------------------------------------|
| 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' |

| | | | |
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| 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 – Registration and 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 |
| Schedule I – Licencing Details | | | |
| I01 | Please provide documentation that supports your application for a VAS license. | As this is an interim REEFs form pending the release of the more comprehensive tailored licensing form, applicants are required to attach all other relevant documentation (not included in the other sections) in this field as a zip-file. Please refer to the VASP Licensing and Waiver checklist linked below and also available on the CIMA website, for guidance on the required documents to ensure a complete submission. | Mandatory field if A00 is 'Licence' |
| Schedule J – Waiver Details | | | |
| J01 | Please provide documentation that supports your application for a VAS waiver. | As this is an interim REEFs form pending the release of the more comprehensive tailored waiver form, applicants are required to attach all other relevant documentation in support of the waiver application in this field as a zip-file. Please refer to the VASP Licensing and Waiver checklist linked below and also available on the CIMA website, for guidance on the required documents to ensure complete submission. | Mandatory field if A00 is 'Waiver' |

VASP Licensing and Waiver Checklist:

https://www.cima.ky/upimages/commonfiles/VASPLicensingandWaiverChecklist-NewApplicants_1743362048.pdf

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*

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

The screenshot shows a form field titled "SCHEDULE A - Applicant Details". Below the field title is a red tooltip box with the text "Mandatory Field". The form field itself contains the question "Is Entity known to CIMA?" followed by a question mark icon and the code "A01". There are two radio button options: "Yes" and "No". The "No" option is selected.

- **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

- **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.