

Annual Regulatory Return

For licenceholders under the Financial Services Act 2008

NAME OF LICENCEHOLDER

Reporting Date

I confirm that, with the exception of any material breaches previously notified to the Authority in writing, during the period covered by this return, the business of the licenceholder has been conducted in accordance with (please input "Yes", "No" or "/N/A" in each confirmation):-

- the Financial Services Act 2008 ("FSA");
- all relevant Parts of the Rule Book issued under the FSA;
- any licence conditions (including modifications) imposed by the Isle of Man Financial Services Authority ("the Authority");
- any directions issued by the Authority;
- the Payment Services Act 2015 and any provision having effect under or by virtue of that Act;
- the Collective Investment Schemes Act 2008 ("CISA");
- any orders or regulations made under the CISA; and
- the Anti Money Laundering and Countering the Financing of Terrorism Code 2019, or any successor and any other relevant code of practice under section 157(1) of the Proceeds of Crime Act 2008 or section 68 of the Terrorism and Other Crime (Financial Restrictions) Act 2014.

I also confirm that the Authority has been notified in writing of all matters, which may influence the continuance of the licence.

If the answer to the above questions is "no", further details should be provided below.

Please find enclosed /attached the following documentation:

1. In accordance with Rule 8.31(4), a group structure chart showing the name and jurisdiction of all companies and / or trusts within the group. [Note: a condensed version may be accepted for large groups, subject to the agreement of the Authority];
2. In accordance with Rule 8.31(4), a management and staff structure chart of the licenceholder in the Isle of Man and of its subsidiaries and, in the case of a licenceholder incorporated in the Isle of Man, any overseas branches. [Note: the structure must show “Key Persons” in ‘controlled functions’, their responsibilities and must include their job title and CF reference/s e.g. Head of Compliance (R13)].
3. Where applicable, in accordance with Rule 8.31(5), A copy of the latest audited financial statements of the entity providing the letter of comfort to support professional indemnity insurance.

Under section 40 of the Financial Services Act 2008 a person commits an offence if he knowingly or recklessly gives any information to the Authority which is false or misleading in a material particular or, without reasonable excuse, fails to furnish information which that person is required to furnish to the Authority, and is liable:-

- (a) on summary conviction, to a fine not exceeding £5,000 or to a term of custody not exceeding 6 months, or to both;
- (b) on conviction on information, to a fine or to a term of custody not exceeding 2 years, or to both.

Data Protection Notice

The Authority is registered with the Information Commissioner as a data controller under Isle of Man data protection legislation. The Authority collects and processes personal data to carry out its functions under relevant legislation and may share personal data with other parties where there is a legal basis for doing so. Information on how the Authority collects and processes personal data can be found in the [Privacy Policy](https://www.iomfsa.im/terms-conditions/privacy-policy/) on the Authority’s website:

<https://www.iomfsa.im/terms-conditions/privacy-policy/>

Please call **+44 (0)1624 646000** if you have any queries.

Signature:

Name:

Date:

Director / Isle of Man Resident Officer / Compliance Officer *Delete as appropriate*