



REEFS Form Completion Guide

Application for Virtual Assets Service Provider

(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
March 2025	2.0	Amendment and second release of documentation.
July 2025	3.0	Amendment to align documentation with VASP Licensing Regime requirements. Third release of documentation.

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1 INTRODUCTION

Regulatory Enhanced Electronic Forms Submission (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.
- 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 APPLICATION PROCESS

Users will need to select the "Application for Virtual Assets Service Provider -- **APP-101-84-05**" through the "New Request" tab in REEFs which will open the initial Application form.

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**.

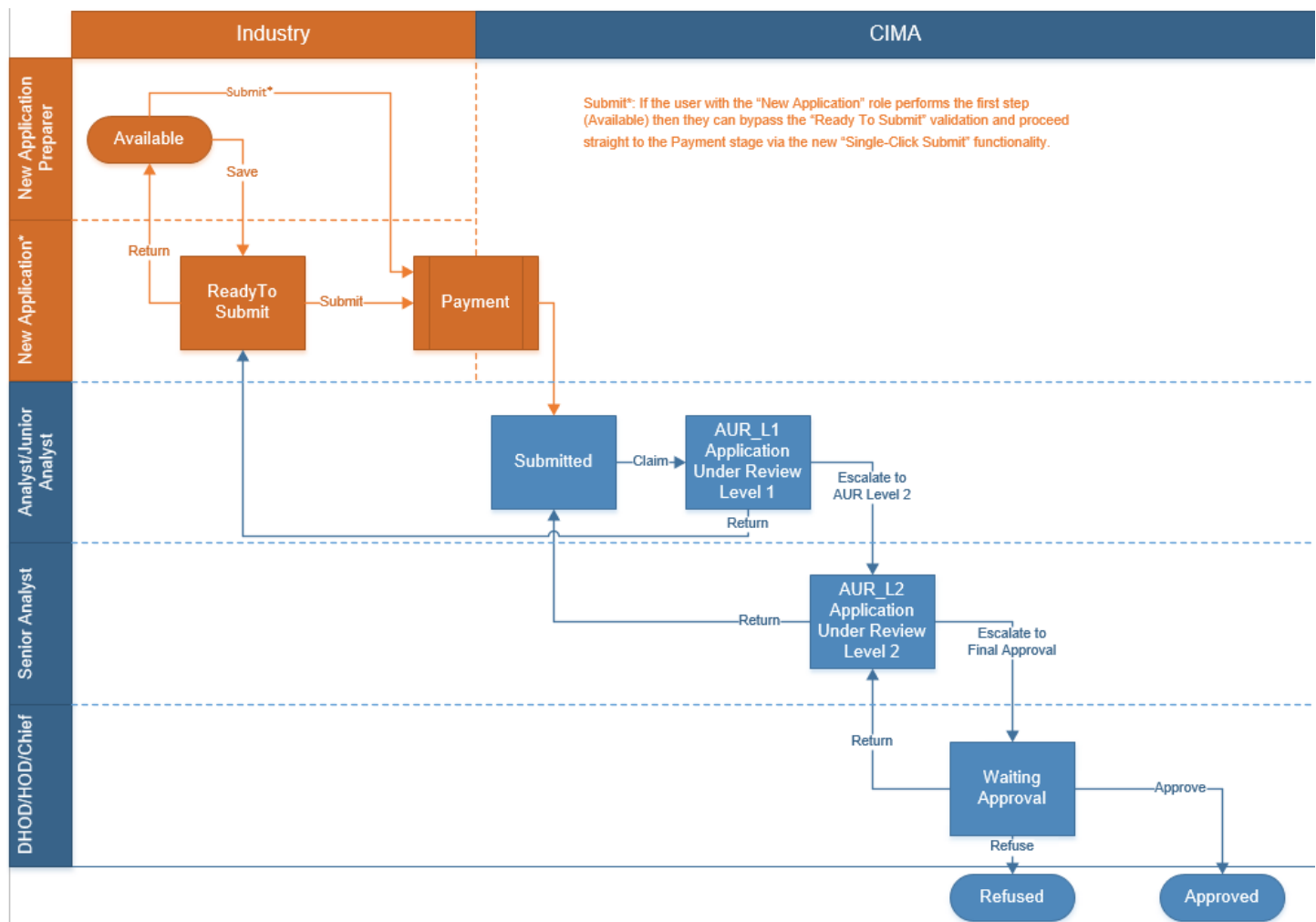
3.2 ROLES REQUIRED FOR APP-101-84-05

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 application form 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 Application 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			
A0	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'
A01c	Provide any trading names (current and previous) under which business has been conducted.		
A01c(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
A01c(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

A01c(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
A01c(iv)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Optional field
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 a provisional 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	Attach legal opinion	If 'Yes' was selected at A03, attach the applicant's legal opinion.	Mandatory field
A03a	Provide rationale and evidence to support the application for waiver?		Mandatory field if Waiver is selected at A0
A04	Intended start of Business	Select date the Applicant intends to commence business activities.	Mandatory field
A05	Has there been any changes, subsequent to becoming known to the Authority to the applicant's organizational structure, ownership structure, regulatory status or trading name?	Select "Yes" or "No" as appropriate.	Mandatory field if A01 is "Yes"
A06 to A09 & A011-12 will be visible if A01 is 'No'			
A06	Has the applicant been incorporated or established under a previous or different name?	Select 'Yes' or 'No' accordingly.	Mandatory field
A06(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 A06 is 'Yes'

A06(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 A06 is 'Yes'
A06(iii)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Mandatory if A6 is 'Yes'
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. Where a licence is held attach evidence accordingly.	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 organisational structure chart	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment.	Optional field
A10b	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
A10c	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'

A16	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
A16a	Identify any virtual asset services provided in a jurisdiction other those listed in A15a		
A16a(i)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Optional field
A16a(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
A16a(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
A17a will be visible if A17 is 'Yes'			
A17a(i)	Jurisdiction	Select the jurisdiction from the options available within the dropdown list.	Mandatory field if A17 is 'Yes'
A17a(ii)	Holding Status	Select the appropriate status from the options available within the dropdown list.	Mandatory field if A17 is 'Yes'
A17a(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'
A17a(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'
A17a(v)	Legal identifier (if any)	If available, provide Legal Entity Identifier (LEI) (if Applicable).	Optional field
A17a(vi)	Percentage	Indicate the numeric value reflective of the percentage of controlling interest acquired/hold.	Mandatory field if A17 is 'Yes'
A18	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
A18a will be visible if A18 is 'Yes'			
A18a(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'
A18a(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'

A18a(iii)	Jurisdiction	Select all applicable jurisdictions from the options available within the drop-down list.	Mandatory field if A18 is 'Yes'
A18a(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'
A18a(v)	Supporting Document	Select browse and add/open the corresponding document.	Mandatory field if A18 is 'Yes'
A19 to A20 will be visible if A01 is 'No'			
A19	Primary Contact Name	Provide details as appropriate.	Mandatory field if A01 is 'No'
A20	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'
B01a	Provide the registered office agreement	Select browse and add/open the corresponding document.	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	Provide the name of the appointed CIMA approved auditor.	Indicate a Cayman Islands certified Auditor.	Mandatory if licensing is selected at A02
B05	Attach Auditor's Consent Letter	Select browse and add/open the corresponding document.	Mandatory if licensing is selected at A02
B06	Auditor Engagement Letter	Select browse and add/open the corresponding document.	Mandatory if licensing is selected at A02
B07	Besides AML are other functions outsourced, including to affiliates?		
B07a	Type of services	Add the nature of services outsourced.	Mandatory field if B07 is 'Yes'

B07b	Service provider name	Include the name of the service provider.	Mandatory field if B07 is 'Yes'
B07c	Service provider country	Select the Country from the options available within the dropdown list.	Mandatory field if B07 is 'Yes'
B07d	Copy of agreements	Select browse and add/open the corresponding document.	Mandatory field if B07 is 'Yes'
B07e	Outsourcing Log	Select browse and add/open the corresponding document.	Optional field

Schedule C – Structure

Corporate Legal Structures – (C01 to C08 will be visible if A09 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'
C02	Number of Directors	Use the + button to add the corresponding number of directors of the Entity.	Mandatory field if A09 is a 'Corporate Structure'

Director Information (Persons)

Indicate details of "Supervisors and Members if entity is a foundation"

C03(i)	Type of Director	Select from dropdown list.	Optional field
C03(ii)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory
C03(iii)	CIMA ID (if known)	Enter the unique 7-digit number the Director has been assigned by the Authority.	Optional field
C03(iv)	Title	Select from the options available within the dropdown list.	Optional field
C03(v)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C02(ii)
C03(vi)	Middle Name	Complete as appropriate.	Optional field
C03(vii)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C02(ii)
C03(viii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C02(ii)
C03(ix)	Country of Birth	Select the Country from the options available within the dropdown list.	Mandatory field if Other is selected in C02(ii)
C03(x)	Other Nationalities:	Complete as appropriate.	Mandatory field if Other is selected in C02(ii)

C03(xi)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C02(ii)
C03(xii)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xiii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xiv))	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xvi)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xvii)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xviii)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xix)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C02(ii)
C03(xx)	Other Information	Complete as appropriate.	Optional field
C04	Corporate Director Name	Insert the full name of corporate director. Indicate details of "Corporate Supervisors and Members if entity is a foundation"	Optional field

C05	Country of Formation	Select the country from the options available within the dropdown list.	Mandatory field if name is entered in C04
C06	CIMA ID (if applicable)	Enter the unique 7-digit number the Director has been assigned by the Authority.	Optional field
C07	Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
Details of Principals of Corporate Director (if applicable)			
C08(i)	Known Person (with CIMA ID)	Select from dropdown list	Mandatory field if name is entered in C04
C08(ii)	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
C08(iii)	Title	Select from the options available within the drop-down list.	Optional field
C08(iv)	First name	Complete as appropriate.	Mandatory field if Other is selected in C08(i)
C08(v)	Middle Name	Complete as appropriate.	Optional field
C08(vi)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C08(i)
C08(vii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C08(i)
C08(viii)	Country of Birth	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C08(i)
C08(ix)	Other Nationalities	Complete as appropriate.	Mandatory field if Other is selected in C08(i)
C08(x)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C08(i)
C08(xi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C08(xii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C08(xiii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
		Select browse and add/open the	Mandatory field if Other is selected in C08(i)

C08(xiv)	Bank Reference	corresponding document.	
C08(xv)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C08(xvi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C08(xvii)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C08(xviii)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C08(i)
C07(xix)	Other Information	Complete as appropriate.	Optional field
Trust Structures – (C09 will be visible if A09 is a 'Trust')			
C09	Trustee	Select the Trustee from the dropdown list	Mandatory field if A09 is a 'Trust'
Partnerships – (C010 to C12 will be visible if A09 is a 'Partnership')			
C10	General Partner	Enter the name of the General Partner	Mandatory field if A09 is a 'Partnership'
C11	GP Legal Entity Identifier (LEI)	If available, provide Legal Entity Identifier (LEI).	Optional field
Principals of the General Partner or Managing Members			
C12(i)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory field
C12(ii)	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(iii)	Title	Select from the options available within the dropdown list.	Mandatory field if Other is selected in C012(i)
C12(iv)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C012(i)
C12(v)	Middle Name	Complete as appropriate.	Mandatory field if Other is selected in C012(i)
C12(vi)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C012(i)
			Mandatory field if Other is selected in C012(i)

C12(vii)	Date of Birth	Use the date picker to add the correct date of birth.	
C12(viii)	Country of Birth	Select the Country from the options available within the dropdown list.	Mandatory field if Other is selected in C012(i)
C12(ix)	Other Nationalities:	Complete as appropriate.	Mandatory field if Other is selected in C012(i)
C12(x)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C012(i)
C12(xi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xiii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xiv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xv)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xvi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xvii)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)
C12(xviii)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C012(i)

C12(xvx)	Other Information	Complete as appropriate.	Optional field
Senior Officers (excluding AML officers, see section below)			
C13(i)	Position Title	Select from the options available within the drop-down list.	Mandatory field
C13(ii)	Other position	Complete as appropriate.	Optional field
C13(iii)	Known Person (with CIMA ID)	Select from dropdown list.	Mandatory field
C13(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
C13(v)	First Name	Complete as appropriate.	Mandatory field if Other is selected in C013(iii)
C13(vi)	Middle Name	Complete as appropriate.	Optional field
C13(vii)	Last name	Complete as appropriate.	Mandatory field if Other is selected in C013(iii)
C13(viii)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C013(iii)

C13(ix)	Country of Birth	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C013(iii)
C13(x)	Other Nationalities	Complete as appropriate.	Mandatory field if Other is selected in C013(iii)
C13(xi)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C013(iii)
C13(xii)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xiii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xiv)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xv)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xvi)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xvii)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xviii)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xix)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C013(iii)
C13(xx)	Other Information	Complete as appropriate.	Optional field

Shareholders: (list all shareholders and beneficial interest holders who are natural persons)			
C14(i)	Persons/Company	Select from drop down list.	Mandatory field
C14(ii)	Percentage holding	Indicate the numeric value representing the percentage of shares hold.	Mandatory field if 'Person' or 'Company' is selected in C14(i)
C14(iii)	Type of share	Select the type of shares from the options available within the drop-down list.	Mandatory field if 'Person' or 'Company' is selected in C14(i)
C14(iv)	Number of Shares	Insert the number of shares	Mandatory field if 'Person' or 'Company' is selected in C14(i)
C14(v)	Known Person (with CIMA ID)	Select from dropdown list	Mandatory field if 'Person' or 'Company' is selected in C14(i)
C14(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
C14(vii)	Title	Select from the options available within the drop-down list.	Mandatory field if Other is selected in C014(v)
C14(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 C014(v)
C14(ix)	Middle Name	Complete as appropriate.	Optional field

C14(x)	Last name	Enter the last name of shareholder (for individuals)	Mandatory field if Other is selected in C014(v)
C14(xi)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C014(v)
C14(xii)	Date of Formation	Use the date picker to add the correct date of birth.	Optional field
C14(xiii)	Country of Birth / Formation	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C014(v)
C14(xiv)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C014(v)
C14(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 C014(v)
C14(xvi)	Ultimate Beneficial Owner?	If the shareholder is a beneficial Owner, select "Yes"; otherwise, select "No".	Mandatory field
C14(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
C14(xviii)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xix)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xx)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxi)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxii)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxiii)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxiv)	Evidence of Source of Wealth/Funds	Complete as appropriate	Mandatory field if Other is selected in C014(v)
C14(xxv)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxvi)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C014(v)
C14(xxvii)	Attach Company Shareholder Annual Accounts for two years immediately		Optional field

	preceding the year of application.		
C14(xviii)	Other Information	Complete as appropriate.	Optional field
Ultimate Beneficial Owners: (list the ultimate Beneficial owners who are natural persons)			
C15(i)	Percentage holding	Indicate the numeric value representing the percentage of shares hold.	Mandatory field
C15(ii)	Type of share	Select the type of shares from the options available within the drop-down list.	Mandatory field
C15(iii)	Number of Shares	Insert the number of shares	Mandatory field
C15(iv)	Known Person (with CIMA ID)	Select from dropdown list	Mandatory
C15(v)	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
C15(vi)	Title	Select from the options available within the drop-down list.	Optional field
C15(vii)	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 C015(iv)
C15(viii)	Middle Name	Complete as appropriate.	Optional field

C15(ix)	Last name	Enter the last name of shareholder (for individuals)	Optional field
C15(x)	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in C015(iv)
C15(xi)	Country of Birth	Select the Country from the options available within the dropdown list	Mandatory field if Other is selected in C015(iv)
C15(xii)	Email Address	Complete as appropriate.	Mandatory field if Other is selected in C015(iv)
C15(xiii)	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 C015(iv)
C15(xiv)	Ultimate Beneficial Owner?	If the shareholder is a beneficial Owner, select "Yes"; otherwise, select "No".	Mandatory field if Other is selected in C015(iv)
C15(xv)	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 if Other is selected in C015(iv)
C15(xvi)	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xvii)	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)

C15(xviii)	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xix)	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xx)	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xxi)	Curriculum Vitae	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xxii)	Evidence of Source of Wealth/Funds	Complete as appropriate	Mandatory field if Other is selected in C015(iv)
C15(xxiii)	Qualifications	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xxiv)	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in C015(iv)
C15(xxv)	Other Information	Complete as appropriate.	Optional field
C16	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 field
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 dropdown 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	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D22	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if

			Other is selected in D01
D23	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D24	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D25	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D26	Curriculum Vitae / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D27	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D01
D28	Qualifications:		
D28(i)	Description	Complete as appropriate.	Optional field
D28(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D28(i)
D28(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D28(i)

D28(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D28(i)
D28(v)	Attach Copy of Qualification	Select browse and add/open the corresponding document.	Mandatory field if description is entered in D28(i)
D29	Does the AML Officer perform any other roles within the organization?	Complete as appropriate.	Mandatory field

Details of Deputy Anti-Money Laundering Compliance Officer (DAMLCO)

D30	Known Person (with CIMA ID)	Select from dropdown list	Optional field
D30a	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
D31	Prefix	Select from the options available within the drop-down list	Optional field

D32	First Name	Complete as appropriate.	Mandatory field if Other is selected in D30
D33	Middle Name	Complete as appropriate.	Optional field
D34	Last Name	Complete as appropriate.	Mandatory field if Other is selected in D30
D35	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D30
D36	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D30
D37	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D30
D38	Other names (Aliases)	Complete as appropriate.	Optional field
D339	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D30
D40	Employer	Complete as appropriate.	Mandatory field if Other is selected in D30
D41	P.O. Box	Complete as appropriate.	Optional field
D42	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D30

D43	City	Complete as appropriate.	Mandatory field if Other is selected in D30
D44	State / Province	Complete as appropriate.	Mandatory field if Other is selected in D30
D45	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D30
D46	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D30
D47	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D30
D48	Facsimile Number	Complete as appropriate.	Optional field
D49	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D30
D50	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D30
D51	Qualifications:		
D51(i)	Description	Complete as appropriate.	Optional field
D(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D51(i)
D51(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D51(i)
D51(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D51(i)

D51(v)	Attach Copy of Qualification	Select browse and add/open the corresponding document.	Mandatory field if description is entered in D51(i)
D52	Does the AML Officer perform any other roles within the organization?	Complete as appropriate.	Mandatory field

Details of Money Laundering Reporting Officer (MLRO)			
D53	Known Person (with CIMA ID)	Select from dropdown list	Mandatory field
D53a	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
D54	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D55	First Name	Complete as appropriate.	Mandatory field if Other is selected in D53
D56	Middle Name	Complete as appropriate.	Optional field
D57	Last Name	Complete as appropriate.	Mandatory field if Other is selected in D53
D58	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D53
D59	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D53
D60	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D53
D61	Other names (Aliases)	Complete as appropriate.	Optional field
D62	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D53
D63	Employer	Complete as appropriate.	Mandatory field if Other is selected in D53
D64	P.O. Box	Complete as appropriate.	Optional field
D65	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D53
D66	City	Complete as appropriate.	Mandatory field if Other is selected in D53

D67	State/ Province	Complete as appropriate.	Mandatory field if Other is selected in D53
D68	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D53
D69	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D53
D70	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D53
D71	Facsimile Number	Complete as appropriate.	Optional field
D72	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D53
D73	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D74	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D75	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D76	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D77	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D78	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D79	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D53
D80	Qualifications:		
D80(i)	Description	Complete as appropriate.	Optional field
D80(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D80(i)
D80(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D80(i)
D80(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D80(i)
D80(v)	Attach Copy of Qualification	Select browse and add/open the corresponding document.	Mandatory field if description is entered in D80(i)
D81	Does the AML Officer perform any other roles within the organization?	Complete as appropriate.	Mandatory field
Details of Deputy Money Laundering Reporting Officer (DMLRO)			

D82	Known Person (with CIMA ID)	Select from dropdown list	Mandatory field
D82a	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
D83	Prefix	Select from the options available within the drop-down list, e.g. Mr, Mrs, etc.	Optional field
D84	First Name	Complete as appropriate.	Mandatory field if Other is selected in D82
D85	Middle Name	Complete as appropriate.	Optional field
D86	Last Name	Complete as appropriate.	Mandatory field if Other is selected in D82
D87	Date of Birth	Use the date picker to add the correct date of birth.	Mandatory field if Other is selected in D82
D88	Country of Birth	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D82
D89	Gender	Select from the options available within the drop-down list, i.e. male or female.	Mandatory field if Other is selected in D82
D90	Other names (Aliases)	Complete as appropriate.	Optional field
D91	Occupation Title	The current position with the employer.	Mandatory field if Other is selected in D82
D92	Employer	Complete as appropriate.	Mandatory field if Other is selected in D82
D93	P.O. Box	Complete as appropriate.	Mandatory field if Other is selected in D82
D94	Street Address	Complete as appropriate.	Mandatory field if Other is selected in D82

D95	City	Complete as appropriate.	Mandatory field if Other is selected in D82
D96	State/ Province	Complete as appropriate.	Mandatory field if Other is selected in D82
D97	Country	Select from the options available within the drop-down list.	Mandatory field if Other is selected in D82
D98	Zip / Postal Code	Complete as appropriate.	Mandatory field if Other is selected in D82
D99	Phone Number	Complete as appropriate.	Mandatory field if Other is selected in D82
D100	Facsimile Number	Complete as appropriate.	Optional field

D101	Email Address	Complete as appropriate.	Mandatory field if Other is selected in D82
D102	Personal Questionnaire	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D103	Character Reference 1	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D104	Character Reference 2	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D105	Bank Reference	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D106	Police Clearance	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D107	CV / Resume	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D108	Colour Copy of National Identification Document	Select browse and add/open the corresponding document.	Mandatory field if Other is selected in D82
D109	Qualifications:		
D109(i)	Description	Complete as appropriate.	Optional field
D109(ii)	Date	Use the date picker to add the correct date.	Mandatory field if description is entered in D109(i)
D109(iii)	Accrediting Body	Complete as appropriate.	Mandatory field if description is entered in D109(i)
D109(iv)	Type	Select from the options available within the drop-down list, i.e. Academic or Professional.	Mandatory field if description is entered in D109(i)
D109(v)	Attach Copy of Qualification	Select browse and add/open the corresponding document.	Mandatory field if description is entered in D109(i)
D110	Does the AML Officer perform any other roles within the organization ?	Complete as appropriate.	Mandatory field
Schedule E – Virtual Asset Services Provided			
Provide the following for each virtual asset service provided or to be provided			
E00	Attach Business Plan/business model	Select browse and add/open the corresponding document.	Mandatory field

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 if a service is chosen in E01
E01(iv)	VAS Value/Revenue	Select as appropriate from drop-down list	Mandatory field if a service is chosen in E01
E01(v)	Value (USD)	Complete as appropriate	Mandatory field if a service is chosen in E01

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 if a service is chosen in E01
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 if a service is chosen in E01
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 if a service is chosen in E01
E01(ix)	Function	Complete as appropriate. Functions include Payment and exchanges, investment / Securities, Utility Access.	Mandatory field if a service is chosen in E01
E01(x)	Purpose	Complete as appropriate. Purpose includes transaction speed, created purpose,	Mandatory field if a service is chosen in E01
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.	Mandatory field
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 if and asset is chosen in E02(i)
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.	Mandatory field if VAS type is chosen in E03(i)
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.	Mandatory field if VAS type is chosen in E03(i)
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.	Mandatory field
E04c	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
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 documentary evidence of how the applicant intends to comply with the travel rule requirements including any software tools that will be used.	Select browse and add/open the corresponding document.	Mandatory field
E07	Provide an outline of internal safeguards and data protection systems that will be put in place to protect the assets and data of clients:	Insert details of the of internal safeguards and data protection systems that will be put in place to protect the assets and data of clients. 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
E08	Internal Safeguards Asset protection (Business Model Description, Business strategy and Risk Appetite)	Select browse and add/open the corresponding document.	Mandatory field

E09	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:		
E09(a)	Last Year	Select browse and add/open the corresponding document. Attachments should reflect the Last Financial year	Mandatory field
E09(b)	Prior Year	Select browse and add/open the corresponding document. Attachments should reflect the year prior to the Last Financial	Mandatory field
E09(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.	Mandatory field
E10	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 E10 is 'Yes'
E10b	Securities Arranger	Select "Yes" or "No" as appropriate.	Mandatory field if E10 is 'Yes'
E10c	Securities Manager	Select "Yes" or "No" as appropriate.	Mandatory field if E10 is 'Yes'
E10d	Broker Dealer	Select "Yes" or "No" as appropriate.	Mandatory field if E10 is 'Yes'
E10e	Market Maker	Select "Yes" or "No" as appropriate.	Mandatory field if E10 is 'Yes'
E11	Provide a statement or declaration confirming any additional regulated activities the applicant intends to provide.	Select browse and add/open the corresponding document.	Mandatory field

Schedule F – Licence Applicant Additional General Details

F01	<p>Provide a brief outline of the governance policies and procedures that at a minimum includes:</p> <ul style="list-style-type: none"> • Effective governance arrangements • Documented roles and responsibilities • Remuneration practices • Conflicts of interest • Procedures for dealing with customers • Procedures for assessing suitability • Complaints procedures • Use of committees 	Insert brief details on the governance policies and procedures covering at a minimum the areas noted.	Mandatory field
F02	Provide 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	Provide 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	Provide 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
F05	Provide the applicant's recovery plan	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
F06	Provide documentary evidence of regulatory capital, showing both risk based and working capital, and confirming where this capital is held and the percentage in fiat (and in what currency) and virtual assets (and where these are secured/stored).	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Optional field

F06a	Attached evidence of capital computation	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field if licence selected at A0
F06b	Attached evidence of stress testing in arriving at regulatory capital	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field if licence selected at A0
F07	Provide evidence of available fully paid off capital	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field if licence selected at A0
F08	Provide a statement as to how much of the capital of each subsidiary company constitutes an asset of the applicant.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field if licence selected at A0

Schedule G – Trading Platforms

G01	Provide location of physical hardware supporting the trading platform	Provide location of physical hardware supporting the trading platform from the options available within the drop-down list.	Mandatory field
G02	Provide a copy of any agreement, contract or disclosure which will be provided to the user of the virtual asset trading platform.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G03	Attach trading platform management overview	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G03a	Attach trading platform governance framework	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G04	Provide client agreements and terms by which each specific virtual asset will be listed, traded or exchanged on the virtual asset trading platform	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G05	Provide listing and delisting procedures	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G06	Provide a statement outlining the due diligence process which will be undertaken by the applicant when listing, trading or exchanging a new virtual asset.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G07	If the applicant will be facilitating the listing, trading or exchange of virtual asset securities, provide a description of the types of securities, disclosures to be provided to clients relating to these securities, and arrangements for and terms under which the securities will be listed on the trading platform.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field if E10 is 'Yes'
G08	Provide confirmation of, and reason for, any trading activity which will be conducted by the applicant on its own account using virtual assets which will be listed, traded or exchanged on the trading platform.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Optional Field
G09	Attach evidence of the steps taken to ensure that client funds are kept separate from the company's operational funds.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field

G10	Provide brief outline of strategy and procedures in place to monitor and detect <ul style="list-style-type: none"> • conflicts of interests, • insider trading, • price manipulation, • market abuse. 	Insert brief details on the strategy and procedures covering at a minimum the areas noted.	Mandatory field
G11	Provide any outsourcing agreements regarding any services relating to the virtual asset trading platform's operation.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Optional field
G12	Provide policy and procedures for dealing with trading disruptions	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G13	Provide policy for client accounts in relation to deposits and withdrawals of both virtual assets and fiat currencies (if applicable)	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G14	Provide a statement outlining the proposed clearing and settlement process which will be utilized by the trading platform in order to perfect trades and exchanges.	Select browse and add/open the corresponding document. If there was a name change, also include this document within the attachment	Mandatory field
G15	Is the trading platform providing lending, financing or leveraging of any kind to its clients?	Select 'Yes' or 'No' as appropriate	Mandatory field
G16	If so, provide the proposed terms of these arrangements and the procedures in place for leveraged trading procedures	Insert details of the terms and procedures for the trading platform stated above.	Mandatory field if G15 is 'Yes'
G17	List the types of services provided or to be provided by the Trading Platform that are not virtual assets services	State all non-Virtual Assets Services that are provided or to be provided by the Trading Platform	Mandatory field
G18	Attach letter of Intent to Provide Services to Persons in the Islands (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
G19	Does the applicant intend to provide custody services?	Select 'Yes' or 'No' as appropriate	Mandatory field
G19a	What is the arrangement around custody of client assets?	Select browse and add/open the corresponding document.	Mandatory field if G19a is 'No'

Schedule H – Virtual Assets Custodian

H01	Indicate the types and amounts of virtual assets which the applicant proposes to hold on behalf of clients.	List all virtual assets which the applicant proposes to hold on behalf of clients. Then insert the dollar amount of the virtual assets which the applicant proposes to hold on behalf of clients.	Mandatory field
H02	Provide a brief outline of the proposed marketing strategy and approach to proposed client communication: <ul style="list-style-type: none"> • Risk warnings • Documentation of client understanding of products and risk • Option for 3rd party custodian 	Insert brief details on the proposed marketing strategy covering at a minimum the areas noted.	Mandatory field
H03	Provide a copy of any agreement, contract or disclosure which will be used during the provision of virtual asset custodial services, outline all information that will be provided to the owners of the virtual assets including, but not limited to: <ul style="list-style-type: none"> • Fees • Compensation structures • Recourse available to clients/owners or virtual assets in the event of loss and • Method by which clients may access their virtual assets 	Select browse and add/ open the corresponding document covering at a minimum the areas noted.	Mandatory field

H04	Provide the details insurance arrangements held by the applicant in the Islands or in another jurisdiction as it relates to: <ul style="list-style-type: none"> • Professional Liability Loss • Loss of Client Assets Held in Custody • Business Interruption • Cybersecurity 	Insert brief details on the insurance arrangements as it relates to Professional Liability Loss, Loss of Client Assets Held in Custody, Business Interruption, Cybersecurity. Select from options available within the drop-down list. Select browse and add/ open the corresponding document covering the area selected in the drop down.	Mandatory field
H05	Provide policy on the handling of concentration risk	Select browse and add/open the corresponding document.	Mandatory field
H06	Provide a reconciliation policy that at a minimum includes: <ul style="list-style-type: none"> • Daily account balance reconciliation • Timely allocation of virtual assets • Discrepancy management • Resolution of unresolved balances • Details of the automated reconciliation process 	Select browse and add/ open the corresponding document covering at a minimum the areas noted.	Mandatory field
H07	Provide policy on custody that address segregation of assets (virtual assets, fiat)	Select browse and add/open the corresponding document.	Mandatory field
H08	Provide policy on private key management	Select browse and add/open the corresponding document.	Mandatory field
H09	Provide estimate of percentage of virtual assets that will be held in online wallets and in offline wallets	Indicate the numeric value representing the percentage of assets that will be held in online wallets and in offline wallets.	Mandatory field
H10	Provide any outsourcing agreements regarding any services relating to the provision of virtual asset custody services which will be outsourced or provided by a third party.	Select browse and add/open the corresponding document.	Mandatory field
H11	Attach letter of Intent to Provide Services to Persons in the Islands (if applicable)	Select browse and add/open the corresponding document.	Optional field
Schedule I – Licencing Details			
I01	Attach the completed Registration checklist, including the signed applicant declaration.	Select browse and add/open the corresponding document.	Mandatory if A0 is 'Registration'
I02	Attach the completed Licensing checklist, including the signed applicant declaration.	Select browse and add/open the corresponding document.	Mandatory if A0 is 'Licensing'

VASP Licensing and Waiver Checklist:

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

VASP Registration Checklist: Please contact the VASP Unit at vaspinfo@cima.ky to obtain a copy of the Registration Checklist.

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 section titled "SCHEDULE A - Applicant Details". Below the title, there is a red-bordered box with the text "Mandatory Field". Below this, there is a question "Is Entity known to CIMA?" with a question mark icon and a small "A01" label. To the right of the question are two radio buttons labeled "Yes" and "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

The screenshot shows a form with two fields. The first field is labeled "Zip / Postal Code" with a question mark icon and a small "D17" label. The second field is labeled "Phone Number" with a question mark icon and a small "D18" label. A red-bordered box with the text "Please enter valid phone number." is positioned above the "Phone Number" field. The "Phone Number" field contains the text "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

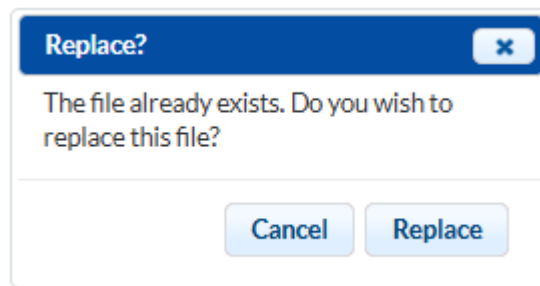
6.2 UNDERSTANDING OTHER ERRORS

6.2.1 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.

The screenshot displays the 'Details of Anti-Money Laundering Compliance Officer (AMLCO)' form. A red tooltip message states: 'AML Officer age must be 18 years or older.' The form fields include: Known Person (with CIMA ID) [D01] with a dropdown menu set to 'Other'; CIMA ID (if known) [D01a] with an empty text box; Prefix [D02] with a dropdown menu set to '(Not Reported)'; First Name [D03] with an empty text box; Last Name [D05] with an empty text box; and Date of Birth [D06] with a date picker set to '04-Nov-2021'. Below the form, a menu is open with the following options: Attachments, Validate..., Download XBRL Instance, Download Excel Document, Upload XBRL Instance..., Upload Excel Document..., Print Filing..., Completion Guide, Document Comments, Clear Schedule, Clear All Cells... (highlighted with a red box), and Revert to last submission...

6.2.2 If, when opening an Excel download of the form, you receive an error stating, "We found a problem with some content in 'NAME of xlsx file'. Do you want us to try to recover as much as we can? If you trust the source of this workbook, click Yes," please click **Yes**, as there should not be any data loss.

6.2.3 If you attempt to upload a file with the same name as one already attached, you will be prompted to replace the file. If **Replace** is selected (see image below), the original file is not deleted and remains attached to any other questions it was previously linked to. Where possible, applicants should avoid uploading files with identical names to prevent confusion or duplication.



*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.*