

SCHEDULE 1 (to Standard No. ADM.S.8.1)**FORM A - APPLICATION LETTER****FOR REGISTRATION AS A FUND ADMINISTRATOR OR SOCIETY ADMINISTRATOR**
(*delete whichever not applicable*)

In terms of section 366 of the Financial Institutions and Markets Act, 2021 (Act No. 2 of 2021) (“the Act”) –

1. I, the undersigned, being the applicant, principal officer or authorised person of _____ duly empowered thereto as per the annexure hereto¹, hereby apply for the registration of the said company, entity or individual as a fund or society administrator (*delete the one not applicable*) to carry out, in Namibia, the following administration services, as defined in terms of section 363 of the Act:

- (a) _____
- (b) _____
- (c) _____
- (d) _____
- (e) _____

2. I submit with this application all the required documents in terms of this Standard.

3. The proof of the prescribed registration fee, as determined in terms of Standard No. GEN. S.10.23 - Fees, is enclosed with the application.

SIGNATURE OF APPLICANT, PRINCIPAL OFFICER OR DULY AUTHORISED PERSON

Full name: _____

Date: _____

Capacity: _____

¹ Applicant to attach a copy of the letter or document of authorisation.

SCHEDULE 2 (to Standard No. ADM.S.8.1)**FORM B - APPLICATION FORM FOR REGISTRATION AS A FUND OR SOCIETY
ADMINISTRATOR – COMPANY OR ENTITY**

I/We, the undersigned, do hereby apply for registration to carry on the business of administration services as defined in section 363 of the Financial Institutions and Markets Act, 2021 (Act No. 2 of 2021) (“the Act”), in Namibia as a fund administrator or society administrator (*delete the one not applicable*) in terms of section 366 of the Act.

1. DETAILS OF COMPANY/ENTITY

1.1 Name(s) of applicant:

1.2 Registration number:

1.3 Income tax no.:

1.4 VAT number:

1.5 Financial year-end:

2. CONTACT DETAILS OF COMPANY/ENTITY

2.1 Physical Address:

2.2 Postal Address:

2.3 Telephone number:

2.4 Facsimile number:

2.5 E-mail address:

Website:

3. DIRECTORS AND KEY PERSONS OF APPLICANT

Full names	Nationality	Country of residence

4. OWNERSHIP STRUCTURE OF APPLICANT

Shareholders or members' names and proportion of ownership:

Name	Shareholding

5. AUDITOR OF APPLICANT

5.1 Name of auditing firm:

5.2 Physical address:

5.3 Telephone number:

5.4 Facsimile number:

5.5 E-Mail address:

5.6 Name of professional regulatory body:

5.7 Membership number:

6. DETAILS OF APPOINTED PRINCIPAL OFFICER (PO)

6.1 First Name(s):

6.2 Surname:

6.3 ID/Passport number:

6.4 Nationality:

6.5 Physical address:

6.6 Postal address:

6.7 Telephone number (w):

6.8 Mobile number:

6.9 Facsimile number:

6.10 E-mail address:

7. ATTACHMENTS

The applicant must provide the following information and documentation as is relevant and if not already provided elsewhere	YES	NO
Proof of registration as a Namibian company with the Registrar of Companies (BIPA) (CM 1)		
Application for reservation of name (CM5)		
Certified copies of the applicant's Memorandum and Articles of Association (CM 2 and CM 44)		
Certificate to commence business (CM 46)		
Certificate of change of name of company (CM 9)		
Contents of directors register (CM 29)		
Notice of registered office (CM 22)		
Notice of consent to appoint, change of name or resignation of auditor or removal of auditor (CM 31)		
Special resolutions with regard to above company documents (CM 26)		
Detailed list of shareholders and shareholding structure (group structure) up to the ultimate natural person/Trust in the group (with 20% shares or more)		

Trusts within the shareholding structure (group structure where the Trust owns 20% shares or more, the applicant must provide original certified copies of) ² : <input type="checkbox"/> Trust deed indicating the names of the beneficiaries; <input type="checkbox"/> Trust certificate from Master of the High Court clearly indicating natural person trustees		
Certified copies of shareholders agreements (between applicant and its direct shareholders)		
Certified copies of share certificates (valid and cancelled) (direct shareholders of applicant)		
Certified copy of proof of required paid-up share capital (applicant's bank statement clearly indicating capital funds received)		
Certified copies of detailed information on sources of funds (original sources of how funds/income is generated/obtained e.g. dividends pay out, board resolution, fund/investment statements, contract agreement validating income)		
Certified copy of municipality certificate of registration or of fitness		
Business plan with at least a five year cashflow projection		
List of funds or societies that the administrator intends to provide administration services to		
Declaration of related party relationships, if any		
Proof of bank account		
Professional indemnity insurance cover certificate		
Proof of registration as a taxpayer from the Receiver of Revenue		
Completed parts and other information required pursuant to Standard No. GEN.S.10.2 – Fit and Proper Requirements		
Proof of payment of the required application fee in terms of Standard No. GEN.S.10.23 - Fees		

SIGNATURE OF APPLICANT, PRINCIPAL OFFICER OR DULY AUTHORISED PERSON

By signing the document, I confirm that all the information contained in this application is true and correct and can be relied upon and I have disclosed all necessary material information that may be required by NAMFISA.

Full name: _____

Capacity: _____

Signature: _____

Date: _____

² Where minority shareholders have influence, documents may also be requested.