

SCHEDULE 1 (to Standard No. ADM.S.8.3)**FORM A -APPLICATION LETTER BY REGISTERED FUND OR SOCIETY ADMINISTRATOR FOR CANCELLATION OF REGISTRATION OR VARIATION OF CONDITIONS GRANTED PURSUANT TO SECTION 370 OF THE ACT**

In terms of section 370(2) of the Financial Institutions and Markets Act, 2021 (Act No. 2 of 2021 (“the Act”) –

1. I, _____, the undersigned, being the principal officer or duly authorised person of _____ duly empowered thereto, hereby apply for –

the voluntary cancellation of registration of the said registered fund or society administrator, in terms of section 370(2) of the Act; or

the variation of conditions subject to which the administrator was registered pursuant to section 368 of the Act;

2. I submit with this application all the required documents as per Standard ADM.S.8.3; and

3. If applicable, the proof of payment of the application fee as prescribed in Standard GEN.S.10.23 – Fees, is enclosed with the application.

SIGNATURE OF PRINCIPAL OFFICER OR DULY AUTHORISED PERSON

Full names: _____

Capacity: _____

Date : _____

SCHEDULE 2 (to Standard No. ADM.S.8.3)

**FORM B - APPLICATION BY A FUND OR SOCIETY CONDITIONS
ADMINISTRATOR FOR THE CANCELLATION OR VARIATION OF GRANTED
PURSUANT TO SECTION 370 OF THE ACT**

Application for – *(indicate the type of application)*

Cancellation

Variation

1. FUND/SOCIETY ADMINISTRATOR

1.1 Full Name (of administrator):

1.2 NAMFISA registration number:

2. CONTACT DETAILS

2.1 Physical address:

2.2 Postal address:

2.3 Telephone (w):

2.4 Fax number:

2.5 E-mail:

3. DETAILS OF PRINCIPAL OFFICER

3.1 First names:

3.2 Surname:

3.3 ID/Passport number:

3.4 Nationality:

3.5 Physical address:

3.6 Postal address:

3.7 Telephone (w):

3.8 E-mail address:

4. DETAILS OF BOARD OF DIRECTORS

Name	Nationality	Elected/Appointed

Name of the Board Chairperson:

Board committees	Name of Chairperson(s) of committee(s)

5. DETAILS OF AUDITOR

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5.1 Name of professional regulatory body:

5.2 Membership number.:

6. NAME OF VALUATOR (if applicable)

.....

7. BOARD RESOLUTION

7.1 Date when the special resolution was passed

7.2 Effective date of cancellation or variation

7.3 Furnish full reason(s) why the special resolution in question 7.1 was passed:

.....

7.4 Was the dissolution effected in terms of the articles of association and the Companies Act? (Please attach a report on how the entity has discharged its responsibilities in terms of the articles of association and the Companies Act)

.....

8. CANCELLATION/VARIATION SPECIFIC INFORMATION

8.1 Is the fund or society administrator cancelling its registration, or varying its conditions for registration?

Cancellation	
Variation	

8.2 In case of variation of conditions for registration, please indicate the conditions for which variation is sought below.

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8.3 Does the fund or society administrator have any liabilities at the time of cancelling/varying?

Yes	
No	

8.4 If the answer is yes, kindly furnish full details of the arrangements that the fund or society administrator has made to meet all its liabilities.

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8.5 Did the fund or society administrator inform its Auditor and Valuator of this notification?

Yes	
No	

8.6 If the answer is no, kindly explain why

.....

9. LIQUIDATOR'S DETAILS (IF APPLICABLE)

9.1 Full name(s) of liquidator

9.2 Identity number of liquidator

9.3 Appointed date of liquidator

9.4 Completion date of liquidation

9.5 Total assets at the date the liquidator is appointed

9.6 Total liabilities at the date the liquidator is appointed

9.7 Total assets on the final date of liquidation

9.8 Total liabilities on the final date of liquidation

9.9 Total liquidator's fee (amount and percentage)

10. ATTACHMENTS REQUIRED

- Letter requesting for cancellation/variation of conditions to NAMFISA
- Original certificate of registration (declaration under oath where original lost)
- Proof of settlement of liabilities
- A certificate by the Auditor and Valuator respectively stating that the fund/society administrator has no liabilities (where there are liabilities, furnish further details as directed by NAMFISA)
- Bank letter confirming the closure of the bank account(s), three months after cancellation, if applicable
- Resolution for change of objectives (if applicable)
- Proof of communication in relation to 8.5
- Proof of communication to members/clients (if applicable)
- Proof of payment of the prescribed application fee (if applicable)
- Confirmation from clients (funds/societies) serviced during the last year that a proper handover was done, including the following:

- (a) All client documents in possession of the administrator have been handed over;
- (b) Access by administrator to all bank/investment accounts of client have been removed;
- (c) All members have been informed of change of administrator; and
- (d) All other relevant service providers (e.g. investment managers) have been informed of change of administrator.

SIGNATURE OF 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: _____
