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## Section 1: General Information

*Publicly listed companies should provide links from their website for the updated information required for this section.*

1.1 Financial institution / intermediary legal name \_\_\_\_\_

1.2 Registered address \_\_\_\_\_

1.3 Country of incorporation \_\_\_\_\_

1.4 Are you a regulated entity?

☐ Yes ☐ No

a. If yes, what is your registration number / regulatory license?

b. If yes, what type of licenses do you hold? Please include the name of the regulator.

c. Does the firm's regulatory structure cover anti-money laundering (AML) and counterterrorism financing (CTF)?

☐ Yes ☐ No

d. If yes, are you a MiFID entity? (Applicable only when registered in EU / EEA.)

☐ Yes ☐ No

1.5 Are you a wholly owned subsidiary of a regulated entity?

☐ Yes ☐ No

1.6 List corporate events (mergers or acquisitions) over the past three years that are relevant to the investment fund distribution business.

1.7 *Ultimate beneficial owner (UBO).* Do you have any shareholder directly or indirectly owning 25 percent or more of the entity's shares or exercising power or control through other means?

☐ Yes ☐ No ☐ N/A (for publicly listed companies or if owned by a publicly listed company)

a. If yes, please list any natural persons that directly or indirectly hold 25 percent or more of the shares / voting rights of your firm's shares.

Main shareholder (UBO)	Percentage controlled