



## Jersey Financial Services Commission Companies Registry

### Registered Trust Company Business (TCB)

Application for a consent for a Jersey unit trust (UT) which is not an investment fund (Non-Fund) (made pursuant to the provisions of the Control of Borrowing (Jersey) Order 1958, as amended (COBO)).

This Jersey UT1 (Non-Fund) Form is intended for use by a registered TCB acting on behalf of a Jersey UT (Non-Fund) which requires a consent to be issued pursuant to the COBO (COBO consent) under one or more Articles of the COBO referred to in Part C of this Jersey UT1 (Non-Fund) Form.

Any application for a COBO consent by a Jersey UT which is an investment fund should be addressed directly to the JFSC's FSB/TCB authorisation team using the appropriate fund application form.

Please note that details of the beneficial owner(s) and controller(s) of the Jersey UT (Non-Fund), are not required to be disclosed under this Jersey UT1 (Non-Fund) Form on the basis that it is the responsibility of the registered TCB making the declaration, under Part E of this Jersey UT1 (Non-Fund) Form to ensure that all data and information contained in this Jersey UT1 (Non-Fund) Form is gathered in accordance with the requirements set out in the Money Laundering (Jersey) Order 2008 (MLO), with guidance in the AML/CFT/CPF Handbook.

Please note in addition that it is also the responsibility of the TCB to satisfy itself and confirm to the JFSC that the activity of the Jersey UT (Non-Fund) is in compliance with the principles set out in the JFSC's Sound Business Policy (SBP).

### Part A. Details of Jersey UT (Non-Fund)

#### 1 Jersey UT (Non-Fund)

1.1	Name of Jersey UT (Non-Fund)													
1.2	Date Jersey UT (Non-Fund) settled (if applicable, e.g. 01 APR 2017)	<input type="text" value="d"/>	<input type="text" value="d"/>	<input type="text" value="m"/>	<input type="text" value="m"/>	<input type="text" value="m"/>	<input type="text" value="y"/>							
1.3	Name(s) of trustee(s) (including any co-trustee or corporate trustee) whereby the trustee is an entity													
1.3.1	Country of registration/ incorporation/establishment													
1.3.2	Registration number													
1.3.3	Trustee regulated by the JFSC	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>									
1.3.4	Registered office address (or equivalent) of trustee													
	Parish <sup>1</sup>	<input type="text"/>				Post code		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1.3.5	E-mail address													

## Part A. Details of Jersey UT (Non-Fund)

1.4 Name(s) of trustee(s) (including any co-trustee or corporate trustee) whereby the trustee is an <b>individual</b>	<input type="text"/>												
1.4.1 Title	<input type="text"/>												
1.4.2 Surname	<input type="text"/>												
1.4.3 Legal name (forename(s))	<input type="text"/>												
1.4.4 Date of birth ( e.g. 01 APR 2017)	<input type="text"/> d	<input type="text"/> d	<input type="text"/> m	<input type="text"/> m	<input type="text"/> m	<input type="text"/> y	<input type="text"/> y	<input type="text"/> y	<input type="text"/> y	<input type="text"/>			
1.4.5 Address of trustee	<input type="text"/>												
	Parish <sup>1</sup>	<input type="text"/>				Post code	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1.4.6 Country of residence	<input type="text"/>												
1.4.7 E-mail address	<input type="text"/>												

## Part B. Jersey service provider(s) to Jersey UT (Non-Fund)

### 2 Jersey service provider(s) to Jersey UT (Non-Fund)

TCB Number

2.1 Name and registered office address of registered TCB	<input type="text"/>												
	Parish <sup>1</sup>	<input type="text"/>				Post code	<input type="text"/>						
2.2 Name(s) and address(es) of other Jersey service provider(s)	<input type="text"/>												
	Parish <sup>1</sup>	<input type="text"/>				Post code	<input type="text"/>						

## Part C. Activity of Jersey UT (Non-Fund)

3.1 Under what Article(s) is the COBO consent sought for the purposes of this application?													
3.1.1 <input type="checkbox"/> Article 9(1)(a) – Unit Trust raising money in the Island													
3.1.2 <input type="checkbox"/> Article 9(1)(b) – Unit Trust holding register of units in the Island													
3.2 Please confirm whether the activity of the Jersey UT (Non-Fund) or any subsidiary, affiliate or associated entity of the Jersey UT (Non-Fund), falls within the remit of the activities table of the SBP. 3.2.1 If yes, please provide details of the activity falling within the SBP	<input type="text"/>												
	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>									

## Part C. Activity of Jersey UT (Non-Fund)

3.3 If the activity of the Jersey UT (Non-Fund) is not caught within the remit of the SBP, please confirm whether any of the following activities apply to the Jersey UT (Non-Fund):

Holding real estate  Commercial  Residential

Country where real estate is situated (if known)

3.4 If the activity of the Jersey UT (Non-Fund) is not caught within the remit of the SBP and none of the activities in 3.3 above apply to the Jersey UT (Non-Fund), please give appropriate details of what other activity the Jersey UT (Non-Fund) will be conducting.

## Part D. Higher risk factors

### 4 Higher risk factors

4.1 Please confirm that, in completing customer due diligence (**CDD**) in relation to the Jersey UT (Non-Fund), due regard has been given to the following:

- Corruption (Jersey) Law 2006;
- Sanctions;
- The JFSC's proliferation and proliferation financing guidance;
- Higher risk factors described in the AML/CFT/CPF Handbook (e.g. Part 1, Section 3 - Identification measures (CDD) Requirements and Appendices D1 and D2); and/or
- Adverse public source information.

4.2 Detail below any higher risk factors identified in the CDD or enhanced due diligence process (as applicable) undertaken as part of this application, having particular regard to Article 15 of the MLO (e.g. is the ultimate beneficial owner connected to an enhanced risk state?).

## Part E. Declaration of TCB

We hereby request, on behalf of the Jersey UT (Non-Fund) that any COBO consent to be issued as a result of this application should (i) replace any previous COBO consent issued in relation to the Jersey UT (Non-Fund) pursuant to COBO and (ii) be issued with immediate effect.

To the best of our knowledge, belief and understanding, I/we declare that the information given in this Jersey UT1 (Non-Fund) Form is complete and correct at the time of application, that there are no material facts of which the JFSC should be aware, that **all data and information has been gathered in accordance with the AML/CFT/CPF Handbook**, and that I/we are aware of the penalties contained in the Control of Borrowing (Jersey) Law 1947, as amended, for providing false or misleading information.

I/We also declare that I/We am/are signing for and on behalf of: TCB Number

an entity authorised to conduct by way of business, trust company business as defined in the Financial Services (Jersey) Law 1998. My/Our position within the authorised entity is:

Director / Authorised signatory

Director / Authorised signatory

and, in line with the authorised entity's internal procedures, I/we am/are entitled to sign this document.

Full Name

Full Name

Signature

Signature

Dated (e.g. 01 APR 2017)

d	d	m	m	m	y	y	y	y
---	---	---	---	---	---	---	---	---

Dated (e.g. 01 APR 2017)

d	d	m	m	m	y	y	y	y
---	---	---	---	---	---	---	---	---

The JFSC will no longer be providing a hard copy of the COBO consent.

Please note that in the event the JFSC requires further information in relation to this Jersey UT (Non-Fund), the JFSC will contact the TCB's compliance contact of record. A copy of the COBO consent, together with the corresponding invoice will also be sent to the TCB's compliance contact of record.