



Name of Proposed Licensee



CENTRAL BANK OF BAHRAIN

**Form 4:
Information on Shareholders and Subsidiaries**



Form 4: Information on Shareholders and Subsidiaries

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Form 4: INSTRUCTIONS

1. Applicants must submit this Form under cover of a letter signed by an authorised signatory of the applicant. Various supporting documentation – specified in the Form – must also be appended to the application.
2. References to an applicant mean the proposed licensee seeking authorisation. An applicant may appoint a representative – such as a law firm or professional consultancy – to prepare and submit the application. However, the applicant retains full responsibility for the accuracy and completeness of the application, and is required to certify the application form accordingly. The CBB also expects to be able to liaise directly with the applicant during the authorisation process, when seeking clarification of any issues.
3. Complete all sections as fully as possible, attaching supporting documents and continuation sheets where appropriate. Attach annex(es) signed by the signatories, if there is insufficient space for your answers. The application should be written in black ink in BLOCK CAPITALS or typed.
4. Failure to provide all the required information may result in significant delays in processing the application. The CBB does not accept responsibility for any loss caused to the applicant by any such delay.
5. Place a tick (✓) in the relevant boxes where appropriate. Where there is an asterisk (*), delete whichever is inapplicable. If any question is not applicable given your particular circumstances, please clearly indicate by marking 'N/A', with an explanation as to why it does not apply. Please provide a full explanation for any question that cannot be answered at this stage. Please note that failure to provide the required information may prejudice an application and may cause delay.
6. All documentation provided to the CBB must be in either the Arabic or English languages. Any documentation in a language other than English or Arabic must be accompanied by a certified English or Arabic translation thereof.
7. The **original** completed form, together with supporting documentation, should be submitted to:

The Director, Capital Markets Supervision Directorate
Central Bank of Bahrain
P.O. Box 27
Manama
Kingdom of Bahrain

8. Queries may be addressed to the Director, Capital Markets Supervision Directorate, on (+973) 17547909/17547907 (telephone), (+973) 17532957 (fax) and ali@cbb.gov.bh (e-mail).
9. If there are any changes in the information furnished in the application prior to the completion of the review of this application, the Central Bank of Bahrain (CBB) should be notified immediately.



Form 4: INSTRUCTIONS (Continued)

10. Finally, applicants are also reminded that providing to the CBB any information which is false or misleading in connection with the submission of this application or any related information may result in the refusal of the application or, if discovered later, the subsequent cancellation of any license issued.



Form 4: DECLARATION

We certify that we have read and understood the provisions of the Central Bank of Bahrain and Financial Institutions Law 2006 (and any regulations issued thereunder). In particular, (i) we are aware that it is an offence under the above law fraudulently or negligently to provide to the Central Bank of Bahrain (CBB) any information which is false or misleading in connection with an application for a license or otherwise; and (ii) we are aware that it is an offence to carry on the business for which a license is hereby sought without such license being granted.

We certify that the information given in answer to the questions above is complete and accurate to the best of our knowledge and belief and that there are no other facts relevant to this application of which the CBB should be aware. We are also aware that we may be subject to civil and/or criminal liability or such action that may be taken by the CBB or any other regulatory authority if any of the above stated information is subsequently found to be false or misleading information. We also confirm that no business of the type for which this license is now sought will be carried on by us prior to obtaining such license.

We undertake to inform the CBB of any changes material to the application that may arise while the CBB is considering the application. We further undertake that, in the event that the institution is granted the license which is hereby sought, we will notify the CBB of any material changes to or affecting the completeness or accuracy of, the information provided in this form as soon as possible, but in any event no later than that required by the Module.

The above declaration must be signed by at least two major proposed controllers (with an interest in the future licensee in excess of 10%). In the case of controllers that are legal persons, the declaration must be signed by 2 directors and bear the corporate seal.

WHERE THE PROPOSED CONTROLLER IS A NATURAL PERSON:

_____ Name of applicant (please print name)	_____ Signature of applicant	_____ Date
_____ Name of applicant (please print name)	_____ Signature of applicant	_____ Date

WHERE THE PROPOSED CONTROLLER IS A LEGAL PERSON:

_____ Director (print name)	_____ Signature of director	_____ Date
_____ Director (print name)	_____ Signature of director	_____ Date



Form 4: Contact Information

Please provide full contact details of person(s) with whom the CBB can communicate regarding this application. Where a professional adviser is given as a contact point, a principal of the applicant must also be given as a contact point.

Contact Point 1

Name: _____

Title: _____

Capacity¹: _____

Tel: _____

Fax: _____

E-mail: _____

Contact Point 2 (if applicable)

Name: _____

Title: _____

Capacity¹: _____

Tel: _____

Fax: _____

E-mail: _____

¹ (e.g.: professional adviser to the applicant, proposed director of applicant.)



Form 4: Section I – Group Ownership Structure

Provide a diagrammatic representation of the applicant's group ownership structure showing the applicant's shareholders (whether corporation or individual) who hold at least 5% of the applicant's issued share capital, and the applicant's subsidiaries. At each ownership level, provide details of the following:

1. Each shareholder's percentage shareholding ownership in the applicant.
2. The applicant's percentage shareholding ownership in each of its subsidiaries.



Form 4: Section II – Parent Entity/Substantial Shareholder Details

Provide the following details on the applicant's parent entity (if applicable) or a substantial shareholder who is an entity:

1. Name:
2. Address and country of the principal place at which the business is carried out:
3. Telephone number and facsimile number:
4. E-mail address and URL of the internet web page (if applicable):
5. Location of registered office (address and country):
6. Form of entity (e.g., association, corporation, etc.):
7. Date and place of formation or incorporation:
8. Brief description of business or operation functions:
9. Names of the chairman, members of the Board of Directors and chief executive officer of the shareholder:
10. If applicable, list of names and addresses of persons holding 50% or more of the share capital of the shareholder.
11. Attach certified true copies of the latest audited profit and loss account, audited balance-sheet and auditors' report.



Form 4: Section III – Individual Substantial Shareholder Details

Provide the following details on the applicant's individual substantial shareholder:

1. Name:
2. Residential address and country:
3. Telephone number and facsimile number:
4. Place of birth and date of birth (dd/mm/yy):
5. Nationality:
6. CPR number (for Bahraini citizen or permanent resident)/passport number (for non-Bahraini citizen):
7. Occupation:
8. Directorships held in other corporations:



Form 4: Section IV – Controlling Interest

If anyone, other than those stated as directors and shareholders of the applicant under Form 2 "Information on Chief Executive Officer or Director" or this Form, has ultimate controlling interest in the applicant, or directly or indirectly exercises or has the power to exercise controlling influence over the management and policies of the applicant, give details of each such person including the following:

1. Name:
2. Nationality:
3. CPR number (for Bahraini citizen or permanent resident)/passport number (for non-Bahraini citizen):
4. Address:
5. Occupation:
6. Academic/professional qualifications:
7. Executive directorship held in any other corporation:



Form 4: Section V – Subsidiary Details

Using a separate sheet for each subsidiary, provide the following details on the applicant's subsidiaries:

1. Name:
2. Address and country of the principal place at which the business is carried out:
3. Date and place of incorporation:
4. Brief description of business or functions:
5. Names of the chairman, other members of the board of directors and chief executive officer: