

ANNEX

Information/Documents to be submitted with respect to Application for “Insurance Broker”.

1	Duly dated and signed Application Form.
2	Prescribed Processing and/or Annual Fee(s).
3	Details of any other licence(s)/registration(s) which the Applicant holds and name of the licence(s) and issuing authority, and any restriction(s) imposed.
4	Business Plan including: (i) – Introduction and Background; (ii) – Business objective, strategy and proposed activity; (iii) – Organisation Chart; (iv) – Target market(s) and client(s) profile; (v) – Mode(s) of financing; (vi) – Three year Financial Forecasts (Balance Sheet, Profit and Loss Account, and Cash Flow Statement); and (vii) – Any other relevant information.
5	Details of the arrangements to be put in place with respect to the day-to-day administration and management.
6	CV of senior officers, and Personal Questionnaire Form(s) for Directors, Managing Director/CEO, Compliance Officer, MLRO and Deputy MLRO (as applicable).
7	Confirmation that the Applicant shall implement a manual of internal control and compliance procedures, once it is licensed/authorised.
8	Certified true copy of the Certificate of Registration/Incorporation, Constitution/M&A (if any), Trust Deed, and/or other statutory documents submitted/required for the registration/incorporation of the Applicant.
9	Latest Annual Return and Audited Financial Statements, as available.
10	If Applicant’s Secretary is a firm or corporation, necessary approval from the Registrar of Companies to be submitted.
11	Details of professional indemnity insurance cover.
12	For information regarding Financial/Capital Requirement, attention is drawn to relevant regulations and rules.
13	In case of registration and continuation of an Applicant/Company incorporated outside Mauritius or a foreign company, additional documents as may be required under the Companies Act 2001 to be submitted.