

**NOTIFICATIONS**

Firm Name:

QFC Number:

Firm type:

Authorised Firm

QFC Licensed Firm

**FOR OFFICIAL USE**

Reference No.:

Date received:

Received by:

Form Q7-V5-NOV14



## PURPOSE OF THIS FORM

- This form should be used only for the following notifications:

(i) Change to <i>LLC</i> or <i>LLP</i> particulars	<b>Section 3</b>
(ii) Change to <i>Branch</i> particulars	<b>Section 4</b>
(iii) Change to financial year end	<b>Section 5</b>
(iv) Cessation or appointment of an auditor	<b>Section 6</b>
(v) Regulatory notifications	<b>Section 7</b>

Depending on the type of Firm and notification, this form should be sent to the *CRO*; the *QFC Regulatory Authority* or the *QFC Authority*.

Firms should consult the applicable Regulations and Rules to determine the appropriate form.

- Chapter 4 of the *QFC Regulatory Authority's* General Rulebook and Chapter 4 of the *QFC Authority* Rules containing procedures in relation to notifications.

## NOTES FOR COMPLETING THIS FORM

- All questions must be answered in full and the use of abbreviations should be avoided. If a field is left blank it may prompt a query. A nil return should be indicated by *N/A*.
- Dates must be provided in the following format: *DD/MM/YYYY*.
- Answers must be typed and additional pages attached if necessary.
- Check the relevant Regulations, Rules, or this form, to determine:
  - (i) the information that must be supplied in this form;
  - (ii) any supporting documentation that must accompany this form;
  - (iii) who should sign this form;
  - (iv) when the notification must be made; and
  - (v) if a fee must accompany this form.
- Ensure that any supporting documentation is clearly labelled and securely attached.
- Defined terms are identified throughout this form by the capitalisation of the initial letter of the word or phrase and italicisation of the term and are defined in the Glossary of the *INAP* Rulebook or the relevant Regulations.
- All supporting *Documents* must be in the English language or accompanied by an appropriate translation into the English language.

## NOTES FOR COMPLETING THIS FORM (cont)

- Please ensure that where indicated any supporting *Documents* are attached to the notification and where required certified as a "True Copy" by a director or the company secretary of the *LLC/Non-QFC Company* or a *Member/Designated Member* of the *Limited Liability Partnership ("LLP")/Non-QFC Limited Liability Partnership*.
- For *CRO* related returns the Declaration in section 8 **MUST** be signed by the director, company secretary, *Member* or *Designated Member*, Senior Executive Function ("SEF") holder or *Principal Representative*.

## NOTES FOR LODGING THIS FORM

The method of lodgement of this form is:

- For the *CRO* and the *QFC Authority* this form and any supporting *Documents* must be filed in original only, to the relevant addresses shown:

### **SECTIONS 3-6 FILINGS (CRO):**

Companies  
Registration Office,  
QFC Tower 1,  
PO Box 23245,  
West Bay, Doha, Qatar  
T: +974 4496 7738  
F: +974 4496 7752  
E: cro@qfc.qa

### **SECTION 7 FILINGS (AUTHORISED FIRM):**

QFC Regulatory Authority  
Regulatory Services,  
QFC Tower 1,  
PO Box 22899,  
West Bay, Doha, Qatar  
T: +974 4495 6888  
F: +974 4495 6868  
E: rs@qfcra.com

### **SECTION 7 FILINGS (QFC LICENSED FIRMS):**

QFC Authority,  
QFC Tower 1,  
PO Box 23245,  
West Bay, Doha, Qatar  
T: +974 4496 7764  
F: +974 4496 7752  
E: licensing@qfc.qa

- For the *QFC Regulatory Authority* the completed form must be submitted using the *QFC Regulatory Authority's* Electronic Submission System ("ESS").
- For details of who can complete and submit the form guidance is provided on ESS.
- The Firm must file this form and any applicable supporting *Documents* and fee with the correct recipient within the prescribed time limit. Any failure to do so may result in a breach of the applicable Regulations and Rules. You must ensure that any other requirement(s) to make a notification(s) to the *QFC Regulatory Authority; the QFC Authority* or the *CRO* is made on the correct form(s) and within the prescribed time limit.
- The information contained in any lodged *QFC* form will be used as the basis upon which the applicable registers and databases maintained by the *QFC Regulatory Authority, the QFC Authority* and the *CRO* are updated, subject to applicable *QFC* legislation.
- The information contained in any lodged *QFC* form may be shared between the *QFC Regulatory Authority, the QFC Authority* and the *CRO* under arrangements between them, and in accordance with applicable *QFC* confidentiality and data protection legislation.

# CONTENTS

## SECTION

1	Contact details .....	5
2	Category of Notification .....	6
3	Changes to LLC or LLP Particulars .....	7
4	Change to Branch Particulars .....	17
5	Change to Financial Year End .....	20
6	Cessation or Appointment of an Auditor .....	21
7	Regulatory Notifications .....	22
8	Declaration .....	26
9	List of Attachments .....	27

# **SECTION 1**

## **CONTACT DETAILS**

Please provide details of the principal contact responsible for this form.

1.1 Name:

1.2 Job title:

1.3 Office address:

1.4 Telephone number (include country and area codes):

1.5 Fax number:

1.6 Email address:

1.7 Preferred method of contact for matters relating to this form:

### CATEGORY OF NOTIFICATION

2.1 Category of notification (tick as applicable):

Change to *LLC* or LLP particulars      Section 3

Change to *Branch* particulars      Section 4

Change to financial year end      Section 5

Cessation or appointment of an auditor      Section 6

Regulatory notifications      Section 7

### **CHANGES TO LLC OR LLP PARTICULARS**

#### **3.1 SECTIONS COMPLETED**

This chapter is divided into the following sections to provide a notification of a change in the details of an *LLC* or an *LLP*.

Indicate section(s) completed (tick as applicable):

Core Details	SECTION 3.2
Changes in personal details of a director, secretary or <i>Designated Member</i> or a <i>Member</i>	SECTION 3.3
Appointment of new director, secretary or <i>Designated Member</i> or a <i>Member</i>	SECTION 3.4
Cessation of a director, secretary or <i>Designated Member</i> or a <i>Member</i>	SECTION 3.5
Alteration of constitutional <i>Documents</i>	SECTION 3.6
Notification of an <i>LLC Ordinary Resolution</i> or <i>Special Resolution</i>	SECTION 3.7
Share allotment	SECTION 3.8
Alteration of share capital	SECTION 3.9
Reduction of share capital	SECTION 3.10

## CHANGES TO LLC OR LLP PARTICULARS (cont)

### 3.2 CORE DETAILS

Details to be changed (tick as applicable):

Firm name	Business or trading name	Address of registered office
Address of head office	Establishment or closure of branch of an <i>LLC</i> or LLP from which financial services are performed	

Provide details of the change including the effective date of the change:

NOTES - Where an *LLC* has changed its name a certified true copy of the resolution must be attached.

### 3.3 CHANGES IN PERSONAL DETAILS OF A DIRECTOR, SECRETARY OR *MEMBER/DESIGNATED MEMBER*

Change in personal details for a continuing:

Director of <i>LLC</i>	Secretary of <i>LLC</i>	<i>Member/Designated Member</i> of LLP
Name on <i>CRO</i> register:		

Approved Individual No. (if applicable):

Details of change including the effective date of the change  
(i.e., change in name, address, new directorships, business occupation or nationality):

NOTES – If the individuals name has changed, a certified true copy of the documentary evidence must be attached.



**CHANGES TO LLC OR  
LLP PARTICULARS (cont)**

**3.4 APPOINTMENT OF NEW DIRECTOR, SECRETARY, MEMBER OR  
DESIGNATED MEMBER**

New Appointment of:

Director of LLC

Secretary of LLC

*Member/  
Designated Member of LLP*

Name:

Address:

Registered number (where secretary is a *Body Corporate*)

Date of appointment:

Date of incorporation  
(where secretary is a  
*Body Corporate*)

Place of incorporation  
(where secretary is a *Body Corporate*)

Date of birth (if applicable):

Place of birth (if applicable):

Nationality (if applicable):

Business occupation:

### CHANGES TO LLC OR LLP PARTICULARS (cont)

#### 3.4 APPOINTMENT OF NEW DIRECTOR, SECRETARY, *MEMBER* OR *DESIGNATED MEMBER* (cont)

Directorships and other interests held within the last 5 years (state whether current or previous):

#### NOTES

- Attach certified true copy of passport
- Please note that the *Address* must be a physical address. The *CRO* does not accept PO Box numbers.
- Attach a certified true copy of the:
  - (i) resolution for the appointment of the director, company secretary, *Member* or *Designated Member*; or
  - (ii) extract of minutes of the meeting of the directors or *Members*.
- All directors of *Authorised Local Firms* must be approved by the *QFC Regulatory Authority* as *Approved Individuals* to undertake an *Executive Governance Function* or *Non-Executive Governance Function*.
- *QFC* form Q03 must be completed for individuals applying for *Approved Individual* status and lodged with the *QFC Regulatory Authority* in addition to submitting this form.
- *QFC* form Q11 should be completed by an *Approved Individual* modifying their scope of approval and lodged with the *QFC Regulatory Authority* in addition to submitting this form.

**CHANGES TO LLC OR  
LLP PARTICULARS (cont)**

**3.4 DECLARATION OF NEW DIRECTOR, SECRETARY *MEMBER* OR *DESIGNATED MEMBER***

I declare that I have consented to be a director, secretary, *Member* or *Designated Member* of the *LLC/LLP* named on the front of this form. I confirm that I am qualified to be a director, secretary, *Member* or *Designated Member* pursuant to the Companies Regulations or Limited Liability Partnership Regulations.

For the purposes of the Data Protection Regulations, I consent to the *CRO*, the *QFC Authority* and the *QFC Regulatory Authority* as applicable processing any of my *Personal Data*, including recording, using, disclosing and transferring that data.

Print Name:

Signature of new director, secretary, *Member* or *Designated Member*:

Date:

**3.5 CESSATION OF DIRECTOR, SECRETARY, *MEMBER* OR *DESIGNATED MEMBER***

Cessation of:

Director of *LLC*

Secretary of *LLC*

*Member/*

*Designated Member* of *LLP*

Name:

Date of cessation:

**NOTES**

- If the director, secretary, *Member* or *Designated Member* has been removed by a resolution, attach a certified true copy of the resolution.
- If the director, secretary, *Member* or *Designated Member* has resigned, please supply either:
  - (i) a certified true copy of the resignation letter; or
  - (ii) a letter from a company secretary, director, *Member* or *Designated Member* confirming the resignation.
- If the individual is an *Approved Individual*, *QFC* form Q12 will also need to be completed and lodged with the *QFC Regulatory Authority*.

### **CHANGES TO LLC OR LLP PARTICULARS (cont)**

#### **3.6 ALTERATION OF CONSTITUTIONAL DOCUMENTS**

Provide details of alteration:

Date of alteration:

##### **NOTES**

- Attach a certified true copy of the *Special Resolution* approving the alteration to the constitutional documents and a copy of the amended constitutional documents.

#### **3.7 NOTIFICATION OF ORDINARY OR SPECIAL RESOLUTION OF LLC**

Give details on the type of resolution (*Ordinary, Special* or other) and subject matter:

##### **NOTES**

- Attach a certified true copy of the resolution.

CHANGES TO LLC OR  
LLP PARTICULARS (cont)

3.8 SHARE ALLOTMENT

Date of allotment:

Details of share capital allotted:

**CLASS OF SHARES**  
**NUMBER OF SHARES**  
**NOMINAL VALUE**  
**CASH RECEIVED**  
**DATE PAID**

NAMES AND ADDRESSES OF THE ALLOTTEES:

Name:

Address:

Class of Shares:

Number allotted:

Amount payable:

Amount and date paid:

NOTES

- Attach additional sheets if required.
- Attach a certified true copy of the resolution for the allotment of the shares.

**CHANGES TO LLC OR  
LLP PARTICULARS (cont)**

NAMES AND ADDRESSES OF THE ALLOTTEES:

Name:

Address:

Class of *Shares*:

Number of *Shares* allotted:

Amount payable:

Amount and date paid:

Name:

Address:

Class of *Shares*:

Number of *Shares* allotted:

Amount payable:

Amount and date paid:

NOTES

- Attach additional sheets if required.
- Attach a certified true copy of the resolution for the allotment of the shares.

CHANGES TO LLC OR  
LLP PARTICULARS (cont)

Shares issued for a consideration other than cash, if any:

Name(s) of allottees:

Details of consideration:

**3.9 ALTERATION OF SHARE CAPITAL**

Type of share capital alteration:

increase of authorised share capital by creating new Shares

consolidating or dividing any or all Shares

sub-dividing Shares

cancelling Shares

other

Provide details and the effective date of the share capital alteration:

NOTES

- Attach certified true copy of the *Ordinary Resolution* for the alteration of share capital

### CHANGES TO LLC OR LLP PARTICULARS (cont)

#### 3.10 REDUCTION OF SHARE CAPITAL

Provide details and the effective date of the share capital reduction:

#### NOTES

• Attach:

- (i) the signed reduction of capital certificate;
- (ii) A certified true copy of the published reduction of capital notice in a newspaper named on a list published by the *CRO* from time to time; and
- (iii) a certified true copy of the *Special Resolution* for the reduction of share capital



### CHANGE TO BRANCH PARTICULARS

#### 4.1 CORE DETAILS

Tick if applicable or move to section 4.2:

Change of registered office address of the *Non-QFC Company*  
or *Non-QFC Limited Liability Partnership*

Change of *Branch* address: principal place of business in the *QFC*

Change in constitutional *Documents*  
(Refer to note 2)

Change of directors/*Designated Members/Members* of the *Non-QFC Company*  
or *Non-QFC Limited Liability Partnership*

Change of name of the *Non-QFC Company* or *Non-QFC Limited Liability Partnership* name (Refer to note 1)

Change of business or trading name of the *Branch*

Provide details of the applicable change including the effective date of the change:

#### NOTES

1. If the *Non-QFC Company* or *Non-QFC Limited Liability Partnership* name has changed attach a copy of the "name change certificate" from the issuing registry in the country of incorporation.
2. If the *Non-QFC Company* or *Non-QFC Limited Liability Partnership* constitutional documents have changed attach a copy of the new constitutional document(s)

#### 4.2 CHANGE IN DETAILS OF *PRINCIPAL REPRESENTATIVE*

Tick if applicable:

Change in details of current *Principal Representative*

Provide details of the change. If the individual's name has changed, provide the name as it currently appears on the *CRO* register and the new name. Attach documentary evidence of the name change:

**CHANGE TO BRANCH**  
**PARTICULARS (cont)**

**4.3 CHANGE IN POWER OF ATTORNEY – *PRINCIPAL REPRESENTATIVE***

Tick if applicable

If, the power of attorney has been amended in relation to the current *Principal Representative*, please provide the new original power of attorney.

**4.4 NEW *PRINCIPAL REPRESENTATIVE***

Tick if applicable

DETAILS OF *PRINCIPAL REPRESENTATIVE*:

Name:

Address:

Date of birth:

Place of birth:

Nationality:

Date of appointment:

**FOR QFC LICENSED FIRMS ONLY:** Will the *Principal Representative* be performing a registered function?

YES

NO

(if Yes, please also submit form Q01 to the *QFC Authority's* Licensing team)

NOTES

- Attach the new original power of attorney (please ensure that the power of attorney complies with the applicable Regulations)

### CHANGE TO BRANCH PARTICULARS (cont)

#### DECLARATION

I declare that I have been appointed as the *Principal Representative* by the *Non-QFC Company* or *Non-QFC Limited Liability Partnership*.

For the purposes of the Data Protection Regulations I consent to the *CRO, QFC Authority* and the *QFC Regulatory Authority* processing any of my *Personal Data*, including recording, using, disclosing and transferring that data.

Signature of New *Principal Representative*:

Date:

**CHANGE TO FINANCIAL  
YEAR END**

**5.1 APPROVAL**

Requesting approval of the *QFC Regulatory Authority* to change financial year end?:

YES                      NO

**NOTES**

- *Authorised Firms* are required under GENE Rule 9.6.1 to obtain prior written consent from the *QFC Regulatory Authority* before specifying a new financial year end.

**5.2 DETAILS OF CHANGE TO FINANCIAL YEAR END**

Change in relation to:

Current and subsequent financial year ends

Previous and subsequent financial year ends

Current financial year end date:

New proposed financial year end date:

Reason for change to financial year end including the effective date of the change:

**NOTES**

- Attach a certified true copy of the resolution for the change in financial year end.

**CESSATION OR APPOINTMENT  
OF AN AUDITOR**

**6.1 CESSATION OF AN AUDITOR**

Details of cessation:

Removal

Resignation

Expiry of term of office

Other reason (if applicable):

Date of cessation:

NOTES

- Attach a certified true copy of the *Ordinary Resolution* removing an auditor or a certified true copy of the notice of resignation.

**6.2 APPOINTMENT OF AN AUDITOR**

Is the auditor on the *CRO* approved list of auditors?:

YES

NO

NOTES

- If the firm is an *LLC* or *LLP*, the auditor must be on the approved list of auditors maintained by the *CRO*.

Name of auditor:

If individual auditor, name of firm:

Address:

Date of appointment:

Name of contact within firm:

NOTES

- Attach a certified true copy of the resolution for the appointment of the auditor.

### REGULATORY NOTIFICATIONS

#### 7.1 TYPE OF NOTIFICATION

Tick as applicable:

Notification under chapter 4 of the GENE Rulebook for *Authorised Firms* and Rule 4 of the QFCA Rules for *QFC Licensed Firms*:

Significant events

Fraud and errors

Other regulators

Material Action against the *Authorised or QFC Licensed Firm*

Winding up, bankruptcy or insolvency

Other actual or potential regulatory or rule breach

Other notification:

Suspicious transaction report made to *FIU*

Notification of temporary cover of an *Approved Individual*

Notification of intention to enter into any material outsourcing arrangement

**REGULATORY NOTIFICATIONS (cont)**

**7.2 DETAILS OF NOTIFICATION**

Under which provision, article or rule is this notification being made?:

If individual auditor, name of firm:

Has the notifiable event occurred?:

YES                      NO

If yes, on what date did the event occur?:

If individual auditor, name of firm:

**REGULATORY NOTIFICATIONS (cont)**

**7.3 IMPACT OF NOTIFIABLE EVENT**

What if any, is the impact or potential impact of the event?:

Has the issue been resolved?:

YES                      NO

If individual auditor, name of firm:

If no, what action will be taken?:



### **REGULATORY NOTIFICATIONS (cont)**

#### **7.4 FURTHER INFORMATION RELATING TO NOTIFIABLE EVENT**

Provide any additional information below:

### DECLARATION

I declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this form is complete and correct. I understand that it is a contravention of *QFC* legislation to knowingly or recklessly provide to the *QFC Regulatory Authority*, *CRO* or the *QFC Authority* any information, which is false, misleading or deceptive, or to conceal information where the concealment of such information is likely to mislead or deceive.

For the purposes of the Data Protection Regulations, the *Personal Data* provided in this form will be processed by the *QFC Regulatory Authority*, the *CRO* and the *QFC Authority* in accordance with Article 8 of the Data Protection Regulations and by signing this form you consent to the recipient sharing the information contained within this form with the *QFC Regulatory Authority*; *QFC Authority* and *CRO*.

I confirm that I have the authority to make this application, to declare as specified above and sign this form for the *Company/LLP/Branch* as applicable.

Print Name:

Signature:

Position:

Date:

#### NOTES

- For *CRO* related returns this declaration **MUST** be signed by a director, company secretary, *Member* or *Designated Member*, *SEF* or *Principal Representative*

## LIST OF ATTACHMENTS

Supporting documentation included with this form:

SECTION:	DOCUMENT:	INCLUDED:
3.2	Certified copy of the resolution to change the name	
3.3	Documentary evidence of change of name of individual	
3.4	Certified copy of passport for new director, secretary, <i>Member</i> or <i>Designated Member</i>	
3.4	Certified copy of the resolution or minutes of meeting for the appointment of the new director, secretary, <i>Member</i> or <i>Designated Member</i>	
3.5	Certified copy of the resolution removing a director, secretary, <i>Member</i> or <i>Designated Member</i>	
3.6	Certified copy of the resolution altering constitutional documents	
3.6	Certified copy of altered constitutional documents	
3.7	Certified copy of the <i>Ordinary</i> or <i>Special Resolution</i>	
3.8	Certified copy of the resolution for the allotment of shares	
3.9	Certified copy of the resolution for alteration of share capital	
3.10	Certified copy of the resolution for reduction of share capital	
3.10	Original reduction of capital certificate signed by the directors	
3.10	Certified copy of the published reduction of capital notice	
4.1	Copy of the name change certificate of the <i>Non-QFC Company</i> or <i>Non-QFC Limited Liability Partnership</i>	
4.1	Copy of the new constitutional document	

### LIST OF ATTACHMENTS (cont)

SECTION:	DOCUMENT:	INCLUDED:
4.2	New power of attorney for new <i>Principal Representative</i>	
4.3	New power of attorney for current <i>Principal Representative</i>	
5.2	Certified copy of the resolution for change in financial year end	
6.1	Certified copy of the resolution removing an auditor	
6.1	Certified copy of notice of resignation by auditor	
6.2	Certified copy of the resolution for appointment of auditor	
	Proof of payment of Prescribed Fee (if applicable)	

QATAR FINANCIAL CENTRE (QFC)

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