| No. | Comments received | | | Author | | | Response | | | | Action | | |
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| Expanding the qualifying requirements | | | | | | | | | | | | | |
| Q1. Do you foresee any difficulties arising from the proposed expansion of the Qualifying Purposes and Qualifying Applicants that may establish a Prescribed Company? If so, how should they be addressed? | | | | | | | | | | | | | |
| 1.1 |  | | |  | | | |  | | |  | | |
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| Q2. Do you agree with the expansion of what amounted to a Transaction within the context of an Exempt Activity under the Current Regulations to the expanded definition of a Structured Financing under the Proposed Regulations? | | | | | | | | | | | | | |
| 2.1 | |  | | |  | | |  | | | |  | |
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| Q3. Are there any specific Qualifying Purposes or Qualifying Applicants that should in your opinion not be in the Proposed Regulations? If so, what are these? | | | | | | | | | | | | | |
| 3.1 | |  | | |  | | | |  | | |  | |
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| Q4. Do you think the Qualifying Purposes and/or Qualifying Applicants should be expanded even further? If so, can you please specify these. | | | | | | | | | | | | | |
| 4.1 | | |  | | |  | | | |  | | |  |
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| Q5. What are your views on the requirements and definition of Control? | | | | | | | | | | | | | |
| 5.1 | | |  | | |  | | | |  | | |  |
|  | | |  | | |  | | | |  | | |  |
| Expanding the role of Corporate Service Providers | | | | | | | | | | | | | |
| Q6. What are your views on the Regulations allowing for the possibility of Corporate Service Providers making filings and providing certifications in respect of applicants? | | | | | | | | | | | | | |
| 6.1 | |  | | |  | | | |  | | |  | |
|  | |  | | |  | | | |  | | |  | |
| Q7. Do you think the Registrar should be able to rely on certifications made by Corporate Service Providers, given their regulatory status with the DFSA? | | | | | | | | | | | | | |
| 7.1 | |  | | |  | | | |  | | |  | |
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| Q8. Do you think the Regulations spell out clearly that Corporate Service Providers’ obligations and potential liability are limited to the actions that may be taken by the Registrar in Regulation 3.3.4? If not, how might they be improved? | | | | | | | | | | | | | |
| 8.1 | |  | | |  | | | |  | | |  | |
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| No. | Comments received | Author | Response | Action |

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| Specific reporting and disclosure requirements |

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| Q9. Do you agree with the Small Private Company classification of Prescribed Companies and the reporting and disclosure requirements that this entails under the Relevant Legislation? | | | | | | | | |
| 9.1 |  | |  | |  | |  | |
|  |  | |  | |  | |  | |
| Q10. What are your views on the confirmations requested from Prescribed Companies in addition to those under the Small Private Company regime? | | | | | | | | |
| 10.1 | |  | |  | |  | |  |
|  | |  | |  | |  | |  |
| Q11. Do you agree with the additional confirmations requested from Initiators and Directors (in the latter case as an ongoing obligation) of Prescribed Companies that have a Structured Financing as its Qualifying Purpose in instances where an Authorised Firm is not involved as a Transaction Party? | | | | | | | | |

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| No. | Comments received | | Author | | Response | | Action | |
| 11.1 | |  | |  | |  | |  | |
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| Miscellaneous |

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| Q12. Do you have any issues, proposed amendments or other suggestions in respect of any of the miscellaneous changes proposed? | | | | |
| 12.1 |  |  |  |  |
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| Q13. Are there any other issues, not included in the Proposed Regulations the subject of this Consultation Paper, which warrant attention? If so, what are they, and why, and how, should they be addressed? | | | | |

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| No. | Comments received | Author | | Response | | Action | |
| 13.1 |  | |  | |  | |  |
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