



# **TURKS AND CAICOS ISLANDS FINANCIAL SERVICES COMMISSION**

## **PERSONAL DECLARATION**

### **FOR**

**MONEY LAUNDERING REPORTING OFFICER (MLRO)**

**MONEY LAUNDERING COMPLIANCE OFFICER (MLCO)**

**COMPLIANCE OFFICER (CO)**

- 1) This form must be completed by all persons applying for approval as Money Laundering Reporting Officers and Money Laundering Compliance Officers in terms of Anti-Money Laundering and Prevention of Terrorist Financing Regulations 2010, Regulation 21 & 22, respectively.
- 2) This form must be completed by all persons applying for approval as Compliance officers in terms of Financial Services Commission Ordinance (Section 31).

*(Attach Annexures if necessary)*

**SECTION 1**

**Proposed Officer's Personal Information**

1. Surname.....

Forenames.....

2. Have you ever had your name changed?  Yes  No

2.1 If yes, give the reason for the change .....

2.2 Other names used at any time.....

3. Date of Birth (DD/MM/YYYY) ..... 4. Place of Birth.....

5. Email..... 6. Telephone.....

7. Passport particulars (Please include a certified coloured copy of the passport identification page)

Passport Number: ..... Expiry Date: .....  
(DD/MM/YYYY)

Country of Issue: .....

8. NATIONALITY .....

9. CURRENT RESIDENTIAL/ PRIVATE ADDRESS

Street:

City:

State/ Providence:

Country:

**SECTION 2**

**Relationship with Applicant Firm**

Please indicate the proposed role/position with the institution.

- MONEY LAUNDERING REPORTING OFFICER (MLRO)
- MONEY LAUNDERING COMPLIANCE OFFICER (MLCO)
- COMPLIANCE OFFICER (CO)

**10. List your residential/private addresses for the last (5) years** (where different from that given above)

Date (DD/MM/YYYY)	Address	Country

**SECTION 2**

**Proposed Officer's Education & Qualifications**

*Please provide copies of academic certificates listed below.*

**11. EDUCATION**

Date (DD/MM/YYYY)	Institution	Location	Diploma / Degree or Professional Qualifications Attained

**12. DETAILS OF CURRENT MEMBERSHIP IN PROFESSIONAL ORGANISATIONS OR ASSOCIATIONS**

Valid from (DD/MM/YYYY)	Organisation/ Association	Membership Status	Expiry Date ( DD/MM/YYYY)

**13. DETAILS OF ANTI-MONEY LAUNDERING AND COUNTER-TERRORIST FINANCING (AML&CFT) TRAINING OR PROFESSIONAL QUALIFICATIONS IN AML/CFT**

Date of Completion (DD/MM/YYYY)	Organisation/Association	Certification Attained

**14. CURRENT EMPLOYMENT**

Date (DD/MM/YYYY)	Employer and Address	Position Held or Job Title

**15. PREVIOUS EMPLOYMENT for the last ten (10) years (where different from that given above)**

Date (DD/MM/YYYY)	Employer and Address	Position Held	Responsibilities

Were any employers regulated by a financial services regulatory body?  Yes  No

If yes:

Name the Regulatory Body.....

Name the Employer(s).....

**SECTION 3**

**Proposed Officer's Character, Reputation & Financial Soundness**

16. The following questions should be answered by selecting the appropriate box. Please note that no time restriction applies to the matters you are asked to disclose. Give details of any incident or action in any jurisdiction, with the exception of minor traffic offences. If the answer to any of the following questions is "yes" full details must be provided.

i. Have you ever been arrested, detained, charged, indicted or summoned to answer for any criminal offence or violation for any reason whatsoever, regardless of the result of the event, in any country? (Except MINOR traffic offences)

Yes     No

If YES give details. List all cases without exception:

Date of Arrest or Detention: .....

Age: .....

Charge: .....

Location: .....

Result: .....

ii. Are any criminal charges pending against you?                       Yes                       No

.....  
.....

iii. Have you ever been subject to disciplinary, enforcement, disqualification or similar proceedings by a regulatory authority or legal body or are any such proceedings pending?

Yes     No

.....  
.....

iv. Have you been the subject of any financial regulatory investigation or is any such investigation pending?                       Yes                       No

.....  
.....

v. Have bankruptcy proceedings ever been taken against you or has a receiver been appointed in respect of any of property owned by you?

Yes     No

.....  
.....

**SECTION 4**

**Proposed Officer's Supporting Documentation**

17. Herewith I have supplied the following documentation in support of this application for approval of Compliance Officer/Money Laundering Compliance Officer/Money Laundering Reporting Officer
- Certified coloured copy of Passport biographical page.*
  - A detailed resume or Curriculum Vitae outlining the relevant qualifications and experience.*
  - Evidence of Anti-Money Laundering and Prevention of Terrorist Financing Training (applicable for MLCO & MLRO).*
  - Original Police Certificate.*
  - Copies of all academic certificates.*
  - One (1) Professional reference (from a person who can verify the experience of proposed CO/MLCO/MLRO).*
  - One (1) Financial reference (from a financial institution addressed to the Commission).*
  - A copy of the job description for the position being applied.*
  - A copy of the outsourcing agreement if the function is being outsourced.*

**SECTION 5**

**Proposed Officer's Declaration**

*The following declaration should be completed by the proposed appointed Compliance Officer / Money Laundering Reporting Officer or the Money Laundering Compliance Officer in relation to the applicant firm*

18. I certify that the information I have provided in this application is, to the best of my knowledge and belief, complete and true and there are no other facts or matters relevant to this application of which the Financial Services Commission should be aware. I undertake to inform the Commission, without delay, of any material changes to the information supplied on this application.

Name of Proposed Officer: .....

Signature of Proposed Officer: .....

Date: .....

**SECTION 6**

**Notary Public**

City / State of .....

Country of.....

The above named ..... personally appeared before me, being duly sworn, deposes and says that he executed the above instrument and that the statements and answers contained therein are true and correct to the best of his knowledge and belief.

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_ 2016

(Seal)

(Notary Public)

My Commission Expires:

**FOR FINANCIAL SERVICES COMMISSION OFFICIAL USE ONLY**

Date Received: .....

**RECOMMENDATION**

- Granted as submitted
- Additional information required
- Rejected {Reason(s)}

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Reviewed by.....

Date.....