



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

## **APPLICATION**

### **FOR**

#### **THE APPROVAL OF THE APPOINTMENT OF**

#### **COMPLIANCE OFFICER**

- Financial Services Commission Ordinance (*Section 31*)

#### **MONEY LAUNDERING COMPLIANCE OFFICER**

- Anti-Money Laundering and Prevention of Terrorist Financing Regulations 2010 (*Regulation 21*)

#### **MONEY LAUNDERING REPORTING OFFICER**

- Anti-Money Laundering and Prevention of Terrorist Financing Regulations 2010 (*Regulation 22*)

This form and annexes thereto should be printed or completed using INK and BLOCK CAPITALS or typescript for all answers.

This form is to be used by all regulated businesses in so far as the Anti-Money Laundering and Prevention of Terrorist Financing Regulations 2010 and the Anti-Money Laundering and Prevention of Terrorist Financing Code 2011 applies and for compliance with the requirements of the Financial Services Ordinance. Licensees are also to be guided by the Commission's Guideline for Appointment of Regulatory Licensees' Compliance Officers, Money Laundering Compliance Officers and Money Laundering Reporting Officers.

**THIS FORM MUST BE ACCOMPANIED BY A COMPLETED PERSONAL DECLARATION FORM FOR THE PROPOSED OFFICER.**

<http://www.tcifsc.tc/component/phocadownload/category/68-general>

**SECTION 1**

**Company Information**

**Full name and address of applicant**

**NAME OF REGULATED ENTITY:**

.....

**ADDRESS:**

.....

.....

1 . Name of person that the FSC is to contact in relation to this application.....

Position.....

Telephone.....

Fax.....

Email.....

2. **POSITION(S) FOR WHICH THE REGULATED ENTITY SEEKS APPROVAL:**

- Money Laundering Compliance Officer
- Money Laundering Reporting Officer
- Compliance Officer

**SECTION 2**

**Name Proposed Officer**

*(Attach Personal Declaration Questionnaire for Compliance Officers, Money Laundering Compliance Officers and Money Laundering Reporting Officers and supporting documentation per the guidelines for approval)*

**NAME OF OFFICER:**.....

**SECTION 3**

**Relationship with Proposed Officer**

3. Will the proposed Officer be employed under full time contract of employment?  Yes  No

4. If the answer to (3) above is "No" provide details of employment arrangement with applicant.

.....

.....

5. What other positions or offices (if any) does or will the proposed Officer hold within the firm?

.....

.....

6. Does the proposed Officer hold any shares in, or have any interest, legal or equitable, direct or indirect, in the firm?

If the answer is 'yes' provide details of shareholding or other interest.

Yes  No

.....  
.....  
.....  
.....

**SECTION 4**

**Regulated Entity's Declaration**

*The following declaration should be completed by the Applicant Firm in relation to individual name in section 2*

7. I ..... hereby confirm to the best of my knowledge and belief that:

- i. This application meets all of the criteria as set out in the Commission's *Guideline for Appointment of Regulatory Licensees Compliance Officers, Money Laundering Compliance Officers, Money Laundering Reporting Officers*
- ii. The information provided in this application and supporting documentation are correct and there are no other facts or matters relevant to this application of which the Financial Services Commission should be aware. We undertake to inform the Commission without delay, of any material changes to the information supplied on this application.

**Details of person signing on behalf of the regulated entity applying:**

**Name of Authorized Signatory:** ..... **Job Title/ Position:** .....

**Signature:** ..... **Date:** .....

**FOR FINANCIAL SERVICES COMMISSION OFFICIAL USE ONLY**

Date Received: .....

**RECOMMENDATION**

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

Reviewed by..... Date.....