



Turks and Caicos Islands Financial Services Commission

APPLICATION FOR THE ISSUE OF A BANK LICENCE

This document should be completed in accordance with the Guideline on Bank Licensing.

- 1 The name and intended registered address of the proposed Institution to be licensed

- 2 The type of banking licence being applied for.

- 3 The name and registered address of the Applicant(s).

- 4 The name and address and proposed percentage holding of the shareholder(s) of the institution to be licensed, stating whether it will be incorporated as a Branch or as a Subsidiary.

Percentage
holding

- 5 The names and addresses of the directors and proposed chief executive officer of the institution to be licensed.

6 The name, and address and percentage holding of the shareholder(s) of the Applicant, if the Applicant is a body corporate.

Percentage
holding

7 The name and address and percentage holding of any ultimate beneficial owner(s) of the Applicant, if not already stated in 4 and 6 above.

Percentage
holding

8 Description of the Applicant's business(es).

9 Any former names under which the Applicant has been registered or traded.

10 The names and addresses of the directors of any Applicant who is a body corporate.

11 Details of the bankers of the Applicant(s). Please indicate principal bankers.

12 List all companies "in the same group" as the Applicant.
(Detailed group structure)

13 QUESTIONNAIRE:
(Please complete the following)

- a Has the Applicant or any company in the same group held any authority from a supervisory body to carry on financial services related business? If so, please give particulars.

Yes *No*

- b Has any authority granted under 13 (a) above ever been revoked? If so, please give particulars.

Yes *No*

- c Has the Applicant or any company in the same group applied for any authority from a supervisory body to carry on financial services related business and such application was refused or withdrawn? If so, please give particulars.

Yes *No*

- d Has the Applicant or any company in the same group failed to satisfy a judgement debt under a court order within the last 10 years? If so, please give particulars.

Yes *No*

- e Has the Applicant or any company in the same group made any compromise or arrangement with its creditors within the last 10 years or otherwise failed to satisfy creditors in full? If so, please give particulars.

Yes *No*

- f Has a receiver or an administrative receiver (or substantial equivalent) of any property of the Applicant or of any company in the same group been appointed within the last 10 years? If so, please give particulars.

Yes *No*

g Has a petition been served for an administrative order in relation to the Applicant or any company in the same group or has the substantial equivalent of such a petition been served in any jurisdiction in the last 10 years? If so, please give particulars.

Yes *No*

h Has a notice of resolution for the voluntary liquidation of the Applicant or any company in the same group been given or has the substantial equivalent of such a notice been given in any jurisdiction in the last 10 years? If so, please give particulars.

Yes *No*

i Has a petition been served for the compulsory liquidation of the Applicant or any company in the same group or has the substantial equivalent of such a petition been served in any jurisdiction in the last 10 years? If so, please give particulars.

Yes *No*

j Is an inspector or authorised officer of any government department or agency, professional association or other regulatory body investigating, or has such investigation taken place in the last 10 years into the affairs of the Applicant or any company in the same group? If so please give particulars.

Yes *No*

k Has the Applicant or any company in the same group ever been censured, prosecuted, disciplined, warned as to future conduct or made the subject of a court order in the last 10 years? If so, please give particulars.

Yes *No*

l Has the Applicant or any company in the same group been refused entry to any professional body concerned with financial activities in the last 10 years? If so, please give particulars.

Yes *No*

m Is the Applicant or any company in the same group engaged or expects to be engaged in any litigation which may have a material effect on the resources of the Applicant? If so, please give particulars.

Yes *No*

14 DECLARATION

We _____ hereby apply for a banking licence for _____, and declare that to the best of our knowledge and belief the information supplied in support of this application is true and accurate

We _____, also undertake to inform the Financial Services Commission of any changes material to this application which may arise while the application is being considered.

To be dated and signed by two directors of the Applicant: