**APPLICATION FOR REGISTRATION**

**(REGISTRATION OF SUPERVISED ENTITIES ACT)**

|  |
| --- |
| **PART A INFORMATION ON PERSON ENGAGED IN OTHER BUSINESS ACTIVITY** |
| 1. **Name of person engaged in other business activity:**

 |
| 1. **Type of Legal Entity (if applicable):**

[ ]  Company [ ]  Partnership [ ]  Business Name [ ]  Other *(Specify)*:  |
| 1. **Category of person engaged in other business activity:**

[ ]  Attorney-at-Law [ ]  Accountant [ ]  Real Estate Agent [ ]  Jeweller [ ]  Motor Vehicle Dealer |
| 1. **Country of Incorporation/Establishment:**

 |
| 1. **Date of Incorporation/Establishment:**

 |
| 1. **Principal business address in Saint Lucia:**

 |
| 1. **Mailing address in Saint Lucia (if different):**

 |
| 1. **Website address (if applicable) & email address:**

 |
| 1. **Are there offices located outside of Saint Lucia? *If yes, please list each office and the jurisdiction below.***

 |
| **PART B NATURE OF BUSINESS***(Tick all relevant boxes to describe the type of service carried out or to be carried out by your business/company)* |
| 1. **Attorney-at-law preparing transactions for a client in relation to the following activities:**
2. **buying and selling real estate** [ ]
3. **creating, operating or managing companies** [ ]
4. **managing bank, savings or securities accounts** [ ]
5. **managing client’s money, securities or other assets** [ ]
6. **raising contributions for the creation, operation or management of companies** [ ]
 |
| 1. **Accountants preparing transactions for a client in relation to the following activities:**
2. **buying and selling real estate** [ ]
3. **creating, operating or managing companies** [ ]
4. **managing bank, savings or securities accounts** [ ]
5. **managing client’s money, securities or other assets** [ ]
6. **raising contributions for the creation, operation or management of companies** [ ]
 |
| 1. **Real Estate Agent involved in transactions for a client concerning the buying and selling of real estate.**

Predominant business activity?[ ]  Commercial [ ]  Residential [ ]  Other *(Specify)*:  |
| 1. **Jeweler acting as a dealer in precious metals or stones** [ ]
 |
| 1. **Provides the service of selling: New Motor Vehicles** [ ]

 **Used Motor Vehicles** [ ]  **New & Used Motor Vehicles** [ ]  |

|  |
| --- |
| **PART C DUE DILIGENCE INFORMATION** |
| 1. **State the number of employees:**

   |
| 1. **Details of the Compliance Officer/Designated Compliance Officer:**

**Name:** **Address:** **Nationality:** **National Identification Card Number / Passport Number:** **Telephone:** **Email:**  |
| 1. **List the Directors of the business/company**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Full name** | **Address** | **Job title/role** | **Nationality** | **Date of Appointment** | **National Identification Card Number / Passport Number** | **Contact Information** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

 |
| 1. **List the Senior Managers of the business/company**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Full name**  | **Address** | **Job title/role** | **Nationality** | **Date of Appointment** | **National Identification Card Number / Passport Number** | **Contact Information** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

 |
| 1. **List all Beneficial Owners, Partners and Principals of the business/company.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Full name** | **Address** | **Percentage Interest** | **Nationality** | **National Identification Card Number / Passport Number** | **Contact Information** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

 |

|  |
| --- |
| 1. **Have any of the directors/senior managers ever been convicted of any financial crime including money laundering, terrorist financing, proliferation financing, fraud and drug trafficking, overseas or in Saint Lucia?**

[ ]  Yes [ ]  No |
| 1. **Have any of the directors/senior Managers ever been arrested, detained, charged, indicted or summoned to answer for any criminal offence of which the result is still pending?**

[ ]  Yes [ ]  No |
| 1. **If you have answered ‘Yes’ to either 20 or 21 please give details.**

 |
| 1. **Is the person engaged in other business activity regulated by a foreign regulatory authority?**

[ ]  Yes [ ]  No**If yes, please provide the name of the Regulator and the jurisdiction, along with a copy of the licence or registration document.** |
| **PART D CLIENTELE INFORMATION** |
| 1. **Indicate the composition of your business clientele in approximate percentage terms.**

|  |  |
| --- | --- |
| **Clientele** | **Percentage (%)** |
| **Domestic politically exposed persons** |  |
| **Foreign politically exposed persons** |  |
| **International politically exposed persons** |  |
| **High net-worth individuals** |  |
| **Non-resident or Overseas Clients** |  |
| **Clients with foreign business** |  |
| **Clients that are:**[ ]  **Trusts** [ ]  **Nominees** [ ]  **Foundations**[ ]  **Other (Specify):**  |  |
| **Clients that are:**[ ]  **Companies** [ ]  **Registered Businesses**[ ]  **Foundations** [ ]  **Other (Specify):**  |  |
| **Clients that are legal entities/persons** |  |
| **Professional Intermediaries** |  |
| **Resident** |  |
| **Other (please specify)** |  |

 |
| 1. **State the annual gross income of the person engaged in other business activity.**

**$ (XCD)** |
| 1. **Approximately what percentage of the revenue of the person engaged in other business activity is derived from the methods of payment in the table below?**

|  |  |
| --- | --- |
| **Type of Payment** | **Percentage (%)** |
| **Cash** |  |
| **Cheque** |  |
| **Bank Drafts** |  |
| **Wire Transfer** |  |
| **Credit Cards** |  |
| **Debit Cards** |  |
| **Other (Please Specify)** |  |

 |
| **PART E ATTACHMENTS** |
| **You are required to submit the following documents with the completed form:** 1. The incorporation or registration documents of the person engaged in other business activity, for example, the Certificate of Incorporation, Certificate of Registration of a Business Name and relevant registers
2. The filed corporate documents of the person engaged in other business activity, including a notice of directors, beneficial owners and shareholders
3. A certified copy of the licence, practising certificate or other professional registration document of the person engaged in other business activity
4. A copy of the Compliance Manual
5. A Certificate of Good Standing (if applicable)
6. Any other document or information required by the Authority
 |
| **PART F DECLARATION** |
| I am authorized to file this form on behalf of the person engaged in other business activity. I declare that the information provided is true, correct and complete. I **HEREBY DECLARE** that on behalf of the person engaged in other business activity , I wish to **REGISTER** with the Financial Intelligence Authority on the grounds of being engaged in other business activity. I am aware that under section 16 of the Registration of Supervised Entities Act, No. 12 of 2023, it is an offence to make a false or misleading representation or submit false or misleading documents to the Financial Intelligence Authority. I am also aware that a person engaged in other business activity that commits this offence is liable on summary conviction to a fine not exceeding $25,000 or to imprisonment for one year or both. I understand that it is a requirement under section 15 of the Registration of Supervised Entities Act, No. 12 of 2023 that the Financial Intelligence Authority be provided with written notice of a material change in the information required to be registered within fourteen days of the supervised entity first becoming aware of the change.**Name:** **Signature:** **Position:** **Date:**  |