**APPLICATION FOR REGISTRATION**

**(REGISTRATION OF SUPERVISED ENTITIES ACT)**

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| **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** |

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| **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** | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |

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| 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:** |