



**FORM A/2**

**Section 34A of the Financial Services Commission Act, 2001**

**APPLICATION FOR A CORPORATE ENTITY TO PERFORM COMPLIANCE FUNCTION SERVICES**

**Note:** *The Guidance on Applying to Perform Compliance Function Services as a Corporate Entity and Utilising a Corporate Entity to Perform Compliance Functions provides assistance in completing this application.*

**1. Name of Corporate Applicant**

[Redacted text box]

**2. Contact Person in Relation to Application**

Last Name [Redacted] First Name [Redacted]

Tel No. [Redacted] Email Address [Redacted]

**3. Addresses**

(Physical Address)

(Mailing Address)

[Redacted physical address lines]

[Redacted mailing address lines]

**4. Constitution of Applicant**

**4.1 Date of Incorporation**

[Redacted] [Redacted] [Redacted] [Redacted] [Redacted]  
(dd) (mm) (yyyy)

**4.2 BVI Business Company Number**

[Redacted]

**5. Ownership of the Applicant**

**5.1 Name(s) of Shareholder(s)**

*(Last Name, First Name for Individuals)*

**Address(es)**

**% of Shares Held**

[Redacted shareholder names table]

[Redacted shareholder addresses table]

[Redacted shareholder share percentages table]



## 8. Fitness and Propriety

Indicate your response by ticking Yes or No to each question below.

**Yes**      **No**

8.1	Has the Applicant or any of its officers at any time been convicted of any criminal offence by any court in the Virgin Islands or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
8.2	Is the Applicant or any of its officers currently the subject of a criminal investigation or extradition request?	<input type="checkbox"/>	<input type="checkbox"/>
8.3	Has the Applicant or any of its officers been found guilty of conducting any unauthorised regulated activity or been investigated for possible conduct of unauthorised regulated activity?	<input type="checkbox"/>	<input type="checkbox"/>
8.4	Has the Applicant or any of its officers ever been censured or disciplined by any professional body to which it belongs or belonged, or any of its officers been dismissed from office or employment or refused entry to any profession or occupation in the Virgin Islands or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
8.5	Has the Applicant or any of its officers filed for bankruptcy or been adjudicated bankrupt by a court in the Virgin Islands or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
8.6	Has the Applicant or any of its officers at any time failed to satisfy any debt due and payable from the Applicant or officer as a judgement-debtor under an order of the court in the Virgin Islands or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
8.7	Has the Applicant or any of its officers been found liable in a civil suit which elicited dishonest or unlawful conduct?	<input type="checkbox"/>	<input type="checkbox"/>
8.8	Has the Applicant or any of its officers, been in connection with the formation, control or management of any corporate, partnership or unincorporated institution adjudged by a court in any jurisdiction civilly liable for any fraud, malfeasance or other misconduct towards such a body or company, or towards any members thereof?	<input type="checkbox"/>	<input type="checkbox"/>
8.9	Has any body corporate, partnership or unincorporated institution with which the Applicant was associated as director, shareholder or controller, anywhere, been compulsorily wound up or made any compromise or arrangement with its creditors where they did not receive or have not yet received full settlement of their claims, either while the Applicant was associated with it or within one year after the Applicant ceased to be associated with it?	<input type="checkbox"/>	<input type="checkbox"/>
8.10	Has any body corporate, partnership or unincorporated institution with which the Applicant was associated as a director, shareholder or controller, anywhere been fined or censured by any securities commission, banking commission or any similar regulatory commission or body?	<input type="checkbox"/>	<input type="checkbox"/>

**NOTE:** *If the answer to any of the above questions is Yes, full details of the matter must be disclosed as a properly marked attachment to the application.*

## 9. Business Activities (Tick to confirm)

9.1	Appended is an overview of Applicant's business activities in line with Part I, paragraph 5 (ix) under the Guidance on Applying to Perform Compliance Function Services and Utilising a Corporate Entity to Perform Compliance Function Services.	<input type="checkbox"/>
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**10. Undertaking by the Applicant** (Confirm by ticking the applicable boxes)

The Applicant hereby confirms that:

- 10.1 Its primary responsibility is to provide compliance function services to licensees that are based, and carrying on business, in or from within the Virgin Islands.
- 10.2 All employees that will be assigned to perform licensee compliance functions are, or will be at the commencement of business, physically resident in the Virgin Islands.
- 10.2 It will not assign or deploy any of its employees to perform compliance functions for and on behalf of a licensee unless such employees have been:
  - (i) approved by the Commission as compliance officers in accordance with section 34 (3) of the FSC Act; and
  - (ii) formally appointed by the licensee in relation to which the Commission gave its approval.

**NOTE:** Paragraph 4 of Part I of the Guidance on Applying to Perform Compliance Function Services and Utilising a Corporate Entity to Perform Compliance Function Services is relevant with respect to Item 10.2.

**11. Declaration by Applicant**

I, , hereby declare that the information provided in this application with respect to  is to the best of my knowledge and belief, true and accurate, and that all documents submitted with this application have been verified as authentic. I understand that providing false or misleading information in respect of this application may cause the Commission to deny the application and may negatively affect any future applications submitted to the Commission involving the Applicant or its directors.

Signature:

Date:  (dd)  (mm)  (yyyy)