	Financial Services	
LAW OF VIRGIN ISLANDS	(Prudential and Statistical Returns) Order	79
Revision Date: 1 Jan 2020	· · · ·	[Statutory Instrument]

FINANCIAL SERVICES (PRUDENTIAL AND STATISTICAL RETURNS) ORDER

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FINANCIAL SERVICES (PRUDENTIAL AND STATISTICAL RETURNS) ORDER- SECTION 56A

(S.I.s 47/2009 and 29/2018)

Commencement

[12 November 2009]

Short title

1. This Order may be cited as the Financial Services (Prudential and Statistical Returns) Order.

Interpretation

2. In this Order, unless the context otherwise requires—

"Act" means the Financial Services Commission Act;

- "applicable Schedule" or "relevant Schedule" refers to any of the Schedules outlined in this Order as may be applicable in relation to a regulated person;
- "Commission" means the Financial Services Commission established under section 3(1) of the Financial Services Commission Act; and
- "regulated person" means a person authorized, licensed, registered or recognized or required to be so authorized, licensed, registered or recognized under a regulatory legislation referred to in Part 1 of Schedule 1 of the Financial Services Commission Act.

Objectives

- 3. (1) The objectives of this Order are—
 - *(a)* to facilitate the timely preparation and submission by regulated persons of prudential and statistical returns required by the Commission in order to enable the Commission—
 - (i) to identify any problems on a timely basis to safeguard the interests of its licensees, the financial services industry and the reputation of the Territory; and
 - (ii) to analyse and develop relevant statistical data for use by the Commission or for public dissemination;
 - (b) to enable the Commission to appropriately respond to requests for information consistent with its international obligations as a regulatory body or by virtue of its membership, observer status or other connection with any domestic or international institution or pursuant to any memorandum of understanding or other agreement or commitment which is consistent with its functions as a regulatory body;
 - (c) to facilitate the Commission in the discharge of its duties or exercise of its powers under the Financial Services Commission Act; and
 - (d) to facilitate the electronic filing of prudential and statistical returns in a more efficient manner thereby ensuring timeliness and reduced administrative costs.

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(2) Any prudential or statistical return received by the Commission pursuant to this Order shall be used only for the purposes outlined in section 56A of the Act and in pursuance of the objectives outlined in subsection (1).

Filing returns

4. (1) Every regulated person shall file with the Commission the relevant prudential or statistical return in accordance with the requirements of the relevant Schedule applicable in the regulated person's case.

(2) It is the duty of every regulated person to ensure that the information contained in any prudential or statistical return filed pursuant to subsection (1) is accurate and complete.

(3) A prudential or statistical return filed under subsection (1) shall not be considered to be properly filed or to be accepted by the Commission if—

- (a) it is not fully completed by providing all the relevant information required;
- (b) it contains any information that is materially inaccurate or misleading;
- (c) within a period of 7 days after the date it has been filed, the Commission rejects it and notifies the regulated person concerned in writing, providing the reason for the rejection; or
- (d) section 8(2) applies, to the extent stated therein.
- (4) For the purposes of—
 - (a) subsection (3)(a), a prudential or statistical return shall not be considered to be incomplete simply on account of the absence of information which does not apply in the case of the regulated person concerned or which, on account of the regulated person not engaging in any business for any particular period, is not available;
 - (b) subsection (3)(b), information contained in a prudential or statistical return is considered to be materially inaccurate or misleading if the Commission is satisfied that the information—
 - (i) is wrong and cannot be relied upon for the purposes of section 56A of the Act or section 3 of this Order;
 - (ii) has persistent errors that are not of a clerical nature; or
 - (iii) is otherwise provided in a manner not consistent with the requirements of the applicable Schedule or any provision of this Order.

(5) For the purposes of subsection (4)(a), the onus is on the regulated person that claims to be unable to provide a required information in a prudential or statistical return on account of not having engaged in business for any particular period to prove the claim to the satisfaction of the Commission and in this regard the Commission may require such information as it considers appropriate.

Period for filing returns

5. (1) The period within which a prudential or statistical return must be filed by a regulated person shall be that provided in the relevant Schedule.

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(2) Nothing contained in this Order affects the operation of any time frame for the provision of any report, statement, return or other obligation under the Act or any regulatory legislation.

Extension for filing returns

6. (1) Subject to subsections (2) and (3), the Commission may, upon written application received from a regulated person, grant an extension for the filing of a prudential or statistical return by the regulated person for a period of up to 30 days.

(2) The Commission shall not exercise the power conferred under subsection

(1)—

- (a) unless the written application for extension of time is received by the Commission at least 7 days before the date of expiry of the period stipulated in the applicable Schedule in respect of a prudential or statistical return;
- (b) if a prudential or statistical return required of the regulated person for any period remains outstanding prior to the date of receipt of the written application for extension of time;
- (c) if at the date of receipt of an application for extension of time any penalty imposed on or applicable to a regulated person remains unpaid;
- (d) if the reason for the written application for extension of time relates to the absence of a particular officer from office, occurrence of a vacancy, shortage of staff or pressure of work or other similar reason; or
- (e) if for any reason the Commission considers that it is not appropriate or in the interest of the due performance of its functions to grant an extension of time.

(3) In making a decision on an application for extension of time under subsection (1), the Commission shall have regard to the following matters—

- (a) whether the delay in submitting a prudential or statistical return is due to an act of nature beyond the control of the regulated person, such as the occurrence of a hurricane, earthquake, tsunami or other natural cause which has affected the efficient functioning of the regulated person;
- (b) whether the operations of the regulated person have been adversely affected by a fire or flood on its premises or other premises at which it maintains its records and for which the regulated person is not responsible;
- (c) whether the records of the regulated person have been stolen or severely interfered with in a robbery, for instance, as to make it difficult to comply with the required deadline for the filing of prudential or statistical returns;
- (d) where audited financial statements are required but have not been received, whether there is a written confirmation from the regulated person's auditor that the audit is incomplete and providing reason for the delay and when the audit is likely to be completed;

- (e) the compliance culture of the regulated person and whether the regulated person is likely to comply with its obligations if granted an extension of time;
- (f) whether there is any other reason provided by the regulated person which the Commission considers compelling and acceptable.

(4) The onus is on the regulated person that seeks to rely on any of the matters outlined in subsection (3) to provide sufficient information to the Commission in support of its written application for extension of time and the Commission may require such other information from the regulated person as it considers appropriate for the purpose of making its decision.

Rectification of filed returns

7. (1) Where, after filing a prudential or statistical return, a regulated person becomes aware that the return contains information that is inaccurate or misleading, it shall, within 5 days of becoming so aware, notify the Commission of that fact in writing in accordance with Part I of Schedule 4 and provide the accurate information.

(2) Where, after receiving and accepting a prudential or statistical return filed with it, the Commission discovers or becomes aware of information in the return which it is satisfied is materially inaccurate or misleading, it shall notify the regulated person in writing of that fact and require the regulated person concerned to provide the accurate information in accordance with Part I of Schedule 4 within a period of 7 days from the date of the notification.

(3) The Commission may notify the regulated person under subsection (2) in accordance with Part II of Schedule 4.

(4) Subject to section 4(3), no penalty applies in respect of an inaccurate or misleading information contained in a prudential or statistical return which has been discovered or become known by the Commission after the return had been filed with and accepted by the Commission if the regulated person concerned complies with the requirements of subsection (1) or (2), as the case may be.

(5) The provisions of section 6 shall not apply to this section.

Electronic filing of returns

8. (1) For the purposes of sections 4, 6 and 7, a regulated person may file a prudential or statistical return, or effect a rectification to such return, in an electronic form by utilizing the forms of the returns or rectification as outlined in the relevant Schedules and provided by the Commission on its website or through such other electronic medium as may be provided by the Commission.

(2) Where information relating to a prudential or statistical return is contained in a compact disk or other electronic storage device and transmitted for the purposes of satisfying the requirements of this Order, the return to which the compact disk or other electronic storage device relates shall not be considered to be properly filed and accepted by the Commission if the Commission—

- (a) is unable to load onto the Commission's systems the information contained in the compact disk or other electronic storage device; and
- (b) notifies the regulated person concerned in accordance with section 4(3)(c).

Application of guidelines

9. Where the Commission issues guidelines in relation to this Order, the guidelines shall have effect in the application and implementation of the Order.

Penalties

10. (1) A regulated person that commits the breaches outlined in the second column of Schedule 5 is liable to the penalties prescribed in column 3 thereof.

(2) In addition to any penalty imposed on a regulated person under Schedule 5, the Commission may take such other enforcement action as it deems appropriate under the Financial Services Commission Act and any applicable regulatory legislation.

SCHEDULE 1

(Section 4)

STATISTICAL RETURN FOR MUTUAL FUNDS

The Statistical Returns in respect of 2008 are to be filed with the Financial Services Commission on or before 15 November, 2009.

Thereafter subsequent Statistical Returns are to be filed with the Financial Services Commission on or before 30th June in respect of the year immediately preceding.

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Financial Services

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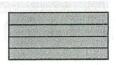
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6.3 Total Redemptions				
6.4 Net Income / Net Loss				
6.5 Total Dividends / Distributions			1	
6.6 Ending Net Asset Value				100 100 100 100 100 100 100 100 100 100
6.7 Gross Assets			1.01	
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7.2 Debt Securities				A second second second
7.3 Master Fund				Strange and the state
74 Other Funds				a pherostal and see
7.5 Derivatives and Structured Pro	oducts			
7.6 Cash/Money Market Instrume				and the second
7.7 Other				
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		8.1	8.2	8.3
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Brazil	BR		and the second	Sector Providence
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Germany	DE			States and States and
Hong Kong SAR	нк			
Italy	ІТ 📃			
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United Kingdom	GB			
United States	US			
Other				
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Total Value			and the second	

9.2 Investment Strategy

Select the entry which best describes the fund's investment strategy: Commodities, Distressed, Emerging Markets, Event Driven, Fixed Income, Fund of Funds, Golbal Macro Long/Short, Market Neutral, Real Estate, Relative Value, Other If other is selected, please specify

10. SUMMARY EXPENSES (US \$ Millions)

- 10.1 Management
- 10.2 Performance
- 10.3 Administration
- 10.4 Professional



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[Statutory Instrument]

11. DECLARATION

I certify that this return represents a true and fair view of the fund's position as at 31 December, 20__. I undertake that if there are further material facts affecting the fund's affairs which, as required by law, should be disclosed, I will advise the Financial Services Commission.

I understand further that the Commission may take enforcement action against a licensee under the Financial Services Commission Act, 2001 where any false, inaccurate or misleading information is provided to the Commission.

(Name of person completing form)	(Position of person completing form)
(Telephone number of person completing form)	(Email address of person completing form)
(Fax number of person completing form)	
(Signature of person co	mpleting form)
	(Date dd/mm/yyyy)
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Notes for completion:	
1. Complete and submit the form annually within the	
2. For definitions of items, refer to the "Guidance Not	
3. If you have any difficulty completing this form, plea	ase contact the Investment Business
Division at the address/telephone number below.	
4. This form should be submitted to:	
BVI Financial Services Commission	Tel: (284) 494 1324
P.O. Box 418 Pasea Estate	Fax: (284) 494 5016
Road Town, Tortola	E-mail: fundreturns@bvifsc.vg
British Virgin Islands VG1110	
Failure to return a completed form within the time	rame specified may result in enforcement action.

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SCHEDULE 2

(Section 4)

PRUDENTIAL RETURN FOR BANKS

The Prudential Return is to be completed and filed with the Financial Services Commission on a quarterly basis on or before the last day of the month following the end of the relevant quarter to which the Return relates.

	Financial	Services	
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(All 4 digits e.g	g. 1999) (# only e.g. 03 = March)	Please show reporting period by placing an X in ONE	of the boxes below
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Reverse Repurchases	9. Long Term Debt	15. Unrealised gain/(loss) on securities	and the contract of the contra
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certify that the figures in this return	present a true and fair view of the company's positi	on as at the above reporting date	
		in my judgement, should be disclosed, I will promptly advise	
Thursday Services Commission.			
Name of person completing form)		(Fax Number of person completing form)	
felephone number of person compl	eting form) (e-mail address of person com	pleting form) (Date dd/mm/yyyy)	
Name of director or senior manager)	(Position held)	
	(Signature of director or senior manager)		

If submitting electronically ONLY PRINT THIS PAGE, SIGN AND RETURN WITH DATA DISK

QUARTER

[Statutory Instrument]

Institution Name:

Licence #:

Enter amount in US dollars to the nearest thousand, omitting \$000s.

Item No.

ASSETS

- 1. CASH ITEMS
 - 1.1 Cash
 - 1.2 Balances with and CDs issued by banks
 - 1.3 Gold and silver bullion
 - 1.4 Cash items in process of collection

2. MARKETABLE SECURITIES (up to 1 yr. Original Maturity)

- 2.1 Zone A: central governments & central banks
- 2.2 Zone A: other public sector
- 2.3 Zone A: bank securities
- 2.4 Other securities

3. REVERSE REPURCHASE AGREEMENTS

- 3.1 Banks
- 3.2 Other

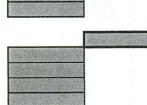
4. LOANS AND ADVANCES

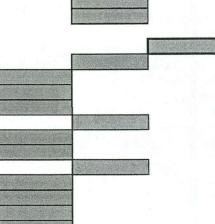
- 4.1 Public sector
 - 4.1.1 Zone A: central governments & central banks
 - 4.1.2 Zone A: other public sector
 - 4.1.3 Other government and public sector
- 4.2 Banks
 - 4.2.1 Zone A countries
 - 4.2.2 Other banks
 - Other loans and advances
 - 4.3.1 Corporations industrial & commercial
 - 4.3.2 Individuals
 - 4.3.3 Secured by residential mortgages
 - 4.3.4 Miscellaneous

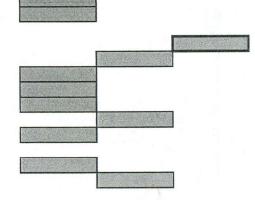
LESS:

4.3

- 4.4 Unearned interest
- 4.5 Specific loan loss reserves
- 5. INVESTMENTS (over 1 year original maturity for debt instruments)
 - 5.1 Zone A Public Sector & Bank Securities
 - 5.1.1 Zone A central governments & central banks
 - 5.1.2 Other zone A central government & public sector
 - 5.1.3 Zone A banks
 - 5.2 Affiliated Institutions
 - 5.2.1 Affiliated bank and other financial institutions
 - (to be deducted from capital, therefore no risk weight)
 - 5.2.2 Affiliated non-financial institutions
 - 5.3 Other securities







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Enter amount in US dollars to the nearest thousand, omitting \$000s.

nem r	ю.
ASSE	TS (contd.)
1	OTHED ACCETC

- OTHER ASSETS
 - 6.1 Premises (net of accumulated depreciation)
 - 6.2 Other real estate owned (net of accumulated depreciation)
 - 6.3 Equipment and other fixed assets (net of accumulated depreciation)
 - 6.4 Goodwill and other intangible assets (net of amortisation)
 - 6.4 contd. (To be deducted from capital)
 - 6.5 Accrued interest receivable
 - 6.6 Other assets
 - 6.7 Due from Head Office
 - Deposit with Financial Services Commission 6.8

7. TOTAL ASSETS

LABILITIES 8.

9.

- DEPOSITS 81 Banks 8.2 Corporations 8.3 Trusts 8.4 Individuals 8.5 Negotiable certificates of deposit Other 8.6
- **REPURCHASE AGREEMENTS (REPOS)**

10. TERM DEBT AND OTHER BORROWINGS

- 10.1 Unsecured subordinated debt(over 5 years original term maturity)
- 10.2 Hybrid debt/equity instruments (over 5 years original term to maturity)
- 10.3 Other notes and bonds
- 10.4 Other borrowings (including loans, overdrafts, commerical paper, etc.)

11. ACCRUED LIABILITIES

- 11.1 Accrued interest payable
- 11.2 Dividend payable
- 11.3 Other accrued expenses

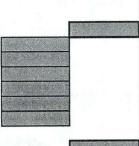
12. OTHER LIABILITIES

12.1 Due to Head Office

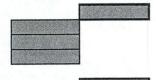
12.2 Financial instruments

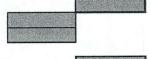
13. LOSS RESERVES

- 13.1 General loan loss reserves
- 13.2 Other loss reserves
- 14. TOTAL LIABILITIES













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Institution Name:

	tution Na	ame:	
Nicolanda a	nce #:	DERS EQUITY	
ына 15.	CONTRACTOR STORES	EHOLDERS EQUITY	
1	15.1	Issued and fully paid up common stock (at par or nominal value)	
	15.2	Additional paid-up capital in excess of par or nominal value	
	15.2	Unappropriated retained earnings	
	15.4	Current year's net income/(loss)	
	15.5	Perpetual non-cumulative issued and fully paid up preference shares	
	LESS:	respensa non-cumulative issued and timy paid up precedence sources	
	15.6	Treasury stock (a deduction from capital)	
	15.0		
16.	FIXED	ASSET REVALUATION	
17.	UNRE	ALISED GAINS/(LOSS) ON SECURITIES	
18.	MINO	RITY INTERESTS	
19.	TOTAL	L SHAREHOLDERS EQUITY	
20.	TOTAL	L LIABILITIES AND SHAREHOLDERS EQUITY	
		MEMORANDA ITEMS	
21.	RELAT	TED PARTY DEPOSITS	
	21.1	Due to: group companies	
	21.2	Due to: directors, controllers and their associates	
	21.3	Due to: non-group companies with which directors and controllers are associated	
	21.4	of which: due to banks	
22.	RELAT	TED PARTY LOANS AND ADVANCES (INCLUDING MARKET LOANS)	
	22.1	Due from: group companies	- 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995 - 1995
	22.2	Due from: directors, controllers and their associates	
	22.3	Due from: non-group companies with which directors and controllers are associated	
	22.4	of which: due from banks	
23.	LOAN	S COVERED BY COLLATERAL OR GUARANTEES	
	23.1	Loans covered by cash with legal right of set-off	
	23.2	Loans collateralised by Zone A Government Securities (10% weight)	
	23.3	Loans collateralised by Zone A Government Securities (20% weight)	
	23.4	Loans covered by bank guarantees	
24.	ENCUI	MBERED ASSETS	
25.	ASSET	S UNDER ADMINISTRATION/CONTROL	
	25.1	Approximate value of TRUST ASSETS (in US\$ millions)	
	25.2	Number of trusts	
	25.3	Approximate NAV (in US\$ millions) of MUTUAL FUNDS ADMINISTERED	
	25.4	Number of funds administered	
	25.5	Approximate value of assets (in US\$ millions) of MANAGED COMPANIES	
	000		

25.6 Number of companies managed

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Enter amount in US dollars to the nearest thousand, omitting \$000s.

TEN LARGEST MARKET LOANS 26.

20.	IEN LAKGESI MARKEI	LUANS			
	Bank	Amount	Related	Country of	Maturity Date
			(Y/N)	office/	(dd/mm/yyyy)
				branch where	
				loan booked	
1					
2					
3					
4					
_					
5					
-					
6					
7					
/					
8					
0					
9					
2					
10					
10					
	Total				
	Ittai				

Financial Services (Prudential and Statistical Returns) Order

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21.	Customer	Amount	Related	Moturity Data
	Customer	Amount		Maturity Date
			(Y/N)	Maturity Date (dd/mm/yyyy)
1				
-				
-				
2				
3				
4				
4				
5				
6				
-				
7				
1				
8				
9				
/				
10				
10				
	Total			
		1	1	1

TEN LARGEST DEPOSITORS 27.

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28. LARGE EXPOSURES TO INDIVIDUAL NON-BANK COUNTERPARTIES AND GROUPS OF CLOSELY RELATED NON-BANK COUNTERPARTIES

GROUPS OF CLOSELY RELATED NON-BANK COUNTERPARTIES								
	Customer	Related Party	Exposure at	Max exposure	Longest maturity	Amounts Overdue	Specific provis-	Descript -ion of
		(Y/N)	reporting	in	date	(Y/N)	ions	Security
		· · /	date	reporting	(dd/mm/			
				period	уууу)			
1								
1								
2								
3								
4								
-								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								

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Financial Services (Prudential and Statistical Returns) Order

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Institution Name:

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Enter amount in US dollars to the nearest thousand, omitting \$000s.

29. TEN LARGEST EXPOSURES TO CENTRAL GOVERNMENTS						
Co	untry Code (see list in	Exposure at	Maximum	Longest		
	"Country" Tab)	reporting date	exposure in	Maturity Date		
			reporting	(dd/mm/yyyy)		
			period			
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
	Total					
I			1	I		

29. TEN LARGEST EXPOSURES TO CENTRAL GOVERNMENTS

	LAW OF	Financial Services (Prudential and Statistical Returns) Or	rder 99
-	IRGIN ISLAN		[Statutory Instrument]
			[]
nstitu	tion Name		
Licenc	е #:	Enter amount in US dollars to the nearest thousand, on	
30.	STATE	EMENT OF INCOME AND EXPENSE	inting soos.
30.1.		REST INCOME	
	30.1.1	Interest on loans	
	30.1.2	Interest and dividend on securities	
	30.1.3	Interest on deposits with banks	And the second second second
	30.1.4	Other interest income	
20.2	INTER	DOT EXPERIOR	
60.2 .		EST EXPENSE	
	30.2.1	Interest on deposits	
	30.2.2 30.2.3	Interest on securities & loans Other interest expense	
		States interest expense	
30.3.	NET II	NTEREST INCOME	
30.4.	PROVI	SIONS FOR LOSSES	
30.5.	NON	NTEREST INCOME	
0.5.	30.5.1	Income from fiduciary activities	
	30.5.2	Other service charges, commissions and fees	
	30.5.3	Other non-interest income	
0.6.	OPERA	ATING INCOME	
20.7	NON		
80.7.		NTEREST (OVERHEAD) EXPENSE	
	30.7.1 30.7.2	Personnel expenses	
	30.7.2	Premises and fixed asset expenses Other operating expenses	
	50.7.5	Other operating expenses	
0.8.	NET G	AIN/(LOSS)	
	30.8.1	Gain/(Loss) on securities	
	30.8.2	Gain/(Loss) on foreign exchange	
	30.8.3	Other Gain/(Loss)	
0.0	INCOS	TE DEEODE TANDO	
0.9. 0.10.		IE BEFORE TAXES CABLE TAXES	
0.10.	AFFLI	CADLE TAXES	
0.11.	NET IN	COME	
0.12.	DIVIDI	END	
0.13.		COME RETAINED	
	RANDA		
0.14.	Net earn	ings from related transactions	
0.15.		sses charged-off	
	Recover	ies on loans charged off	
0.16. 0.17.		oss) on derivatives trading	

Institution Name:

Licence #:

Enter amount in US dollars to the nearest thousand, omitting \$000s.

SECURITY INVESTMENTS			
Туре	Book Value	Market Value	Net Unrealised Gain/(Loss)
Total Trading Securities			
Debt			
Equity			
Other			
Total Investment and Held- to-Maturity			
Debt			
Equity			
Other			
Other (Specify			
Grand Total			
	Type Total Trading Securities Debt Equity Other Total Investment and Held- to-Maturity Debt Equity Other Other	TypeBook ValueInternating SecuritiesInternationDebtInternationEquityInternationOtherInternationDebtInternationDebtInternationDebtInternationDebtInternationDebtInternationDebtInternationDebtInternationDebtInternationOtherInternationOtherInternationOtherInternationOther (SpecifyInternationInternati	TypeBook ValueMarket ValueTotal Trading SecuritiesDebtEquityOtherDebtDebtDebtDebtDebtDebtDebtDebtOtherOtherOtherDebt </td

31. SECURITY INVESTMENTS

LAW OF	
VIRGIN ISLANI)

VIRGIN ISLANDS Revision Date: 1 Jan 2020

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	Past Due & Non-accrual loans + Other assets					
Insti	tution Name:					
Lice	nce #:					
	Enter amount in US dollars to	the nearest thou	isand, omitting	\$000s.		
		30-89 Days	90 Days &	Total Non-		
ASS	ET CATEGORY	Past Due	Over Past Due	Accruing		
1.	Loans to banks					
2.	Commercial & Industrial loans					
3.	Personal Loans					
4.	Other loans and assets					
5.	TOTAL					
MEMORANDA:						
(I					
<u>6.</u> 7.	Loans to related parties Restructured loans (current reporting period)					

Financial Services (Prudential and Statistical Returns) Order

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D	FDDIC	TING M		TIFS _ I	ntarast P	ata San	sitivity		
	Sight -8 days	8 days -1 month	1 month -3 months	3-6 Months	6 – 12 Months	1-5 Years	Over 5 Years	Non-Interest Sensitive (Assets and Liabilities)	Total
SETS									
Cash and									
deposits									
Loans									
Other assets									
Total Assets									
Deposits	EQUITY	Y							
Other deposits									
Loans									
Other liabilities									
Total Liabilites									
Total Liabilites &									
Equity									
sheet items									
Net Position									
	Enter a SETS Cash and deposits Loans Investments Other assets Total Assets Other deposits from banks Other deposits from banks Other liabilities Total Liabilities Total Liabilities Equity Total Liabilites & Equity Off-balance sheet items	Enter amount Sight -8 -8 days SETS -8 Cash and -9 deposits -1 Loans -1 Investments -1 Other assets -1 Total Assets -1 BILITIES & EQUITY -1 Deposits -1 from banks -1 Other -1 deposits -1 from banks -1 Other -1 deposits -1 from banks -1 Other -1 deposits -1 Ioans -1 Other -1 liabilities -1 Total -1 Liabilites & -1 Equity -1 Total -1 Liabilites & -1 Equity -1 Off-balance -1 sheet items -1 <td>Enter amount in US dSight -8 days8 days -1 monthSETS-Cash and deposits-Loans-Investments-Other assets-Total Assets-Total Assets-BILITIES & EQUITYDeposits from banks-Other deposits-Loans-Other deposits-Investments-Total Assets-BILITIES & EQUITYDeposits from banks-Other deposits-Loans-Other diabilities-Total Liabilities-Equity-Total Liabilites & Equity-Off-balance sheet items-</td> <td>Enter amount in US dollars toSight -8 days8 days -1 month1 month -3 monthsSETS</td> <td>Enter amount in US dollars to the nearSight -8 days8 days -1 month1 month -3 months3 - 6 MonthsSETS-1 days1 month -3 months3 - 6 MonthsCash and deposits111Loans1111Investments1111Other assets1111Total Assets1111Deposits from banks111Other deposits111Loans111Other deposits111Investments111Deposits from banks111Other deposits111Loans111Itabilities111Itabilities111Total Liabilities111Equity111Off-balance sheet items111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities11<t< td=""><td>Enter amount in US dollars to the nearest thousSight -8 days8 days -1 month1 month -3 months3-6 Months6-12 MonthsSETSCash and deposits1111Loans11111Investments11111Other assets11111Total Assets11111BILITIES & EQUITY1111Deposits1111from banks1111Other deposits1111Total Assets1111Loans1111Total Assets1111Loans1111Other deposits1111Loans1111Total Liabilities111Equity1111Off-balance sheet items111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111</td><td>Enter amount in US dollars to the nearest thousand, on Sight -8 days 8 days -1 1 month -3 month 3-6 Months 6-12 Months 1 - 5 Years SETS Serres Serres</td><td>Sight -8 days8 days -1 month1 month -3 months3-6 Months6-12 Months1-5 YearsOver 5 YearsSETSCash and depositsLoansInvestmentsOther assetsTotal AssetsDeposits from banksOther depositsDetositsDetositsDetositsLoansDetosits<td< td=""><td>Enter amount in US dollars to the nearest thousand, omitting S000s.Sight -3 days8 days -1 month$3-6$ months$6-12$ Months$1-5$ VearsOver 5 VearsNon-Interest Sensitive (Assets and Liabilities)SETSCash and depositsImage: Image: Image</br></td></td<></td></t<></td>	Enter amount in US dSight -8 days8 days -1 monthSETS-Cash and deposits-Loans-Investments-Other assets-Total Assets-Total Assets-BILITIES & EQUITYDeposits from banks-Other deposits-Loans-Other deposits-Investments-Total Assets-BILITIES & EQUITYDeposits from banks-Other deposits-Loans-Other diabilities-Total Liabilities-Equity-Total Liabilites & Equity-Off-balance sheet items-	Enter amount in US dollars toSight -8 days8 days -1 month1 month -3 monthsSETS	Enter amount in US dollars to the nearSight -8 days8 days -1 month1 month -3 months3 - 6 MonthsSETS-1 days1 month -3 months3 - 6 MonthsCash and deposits111Loans1111Investments1111Other assets1111Total Assets1111Deposits from banks111Other deposits111Loans111Other deposits111Investments111Deposits from banks111Other deposits111Loans111Itabilities111Itabilities111Total Liabilities111Equity111Off-balance sheet items111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities111Itabilities11 <t< td=""><td>Enter amount in US dollars to the nearest thousSight -8 days8 days -1 month1 month -3 months3-6 Months6-12 MonthsSETSCash and deposits1111Loans11111Investments11111Other assets11111Total Assets11111BILITIES & EQUITY1111Deposits1111from banks1111Other deposits1111Total Assets1111Loans1111Total Assets1111Loans1111Other deposits1111Loans1111Total Liabilities111Equity1111Off-balance sheet items111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111</td><td>Enter amount in US dollars to the nearest thousand, on Sight -8 days 8 days -1 1 month -3 month 3-6 Months 6-12 Months 1 - 5 Years SETS Serres Serres</td><td>Sight -8 days8 days -1 month1 month -3 months3-6 Months6-12 Months1-5 YearsOver 5 YearsSETSCash and depositsLoansInvestmentsOther assetsTotal AssetsDeposits from banksOther depositsDetositsDetositsDetositsLoansDetosits<td< td=""><td>Enter amount in US dollars to the nearest thousand, omitting S000s.Sight -3 days8 days -1 month$3-6$ months$6-12$ Months$1-5$ VearsOver 5 VearsNon-Interest Sensitive (Assets and Liabilities)SETSCash and depositsImage: Image: Image</br></td></td<></td></t<>	Enter amount in US dollars to the nearest thousSight -8 days8 days -1 month1 month -3 months3-6 Months6-12 MonthsSETSCash and deposits1111Loans11111Investments11111Other assets11111Total Assets11111BILITIES & EQUITY1111Deposits1111from banks1111Other deposits1111Total Assets1111Loans1111Total Assets1111Loans1111Other deposits1111Loans1111Total Liabilities111Equity1111Off-balance sheet items111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111Intabilities1111	Enter amount in US dollars to the nearest thousand, on Sight -8 days 8 days -1 1 month -3 month 3-6 Months 6-12 Months 1 - 5 Years SETS Serres Serres	Sight -8 days8 days -1 month1 month -3 months3-6 Months6-12 Months1-5 YearsOver 5 YearsSETSCash and depositsLoansInvestmentsOther assetsTotal AssetsDeposits from banksOther depositsDetositsDetositsDetositsLoansDetosits <td< td=""><td>Enter amount in US dollars to the nearest thousand, omitting S000s.Sight -3 days8 days -1 month$3-6$ months$6-12$ Months$1-5$ VearsOver 5 VearsNon-Interest Sensitive (Assets and Liabilities)SETSCash and depositsImage: Image: Image</br></td></td<>	Enter amount in US dollars to the nearest thousand, omitting S000s.Sight -3 days8 days -1 month $3-6$ months $6-12$ Months $1-5$ VearsOver 5 VearsNon-Interest Sensitive (Assets and Liabilities)SETSCash and



Off-balance sheet items (non-derivative instruments) **Institution Name:**

Licence #:

Indirect credit instruments		Book	Risk class				
		amount	A: Nil	B: Low	C: Low-Medium	D: Medium	E: Full
1.	Commitments 1 year & under						
2.	Short-term trade letters of credit						
3.	Commitments over 1 year						
4.	Transactions- related contigencies and guarantees.						
5.	Direct credit substitutes, standby L/Cs, repos, forward asset purchases						

Enter amount in US dollars to the nearest thousand, omitting \$000s.

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Derivative Instruments*

Institution Name:

Licence #:

Enter amount in US dollars to the nearest thousand, omitting \$000s.

Off-Balance Sheet Contracts		Notional/Market Amounts			
		Ter	m to Maturity in	Years	
		0 to 1	1 to 5	Over 5	
A. Int	terest Rate Contracts				
1.	Swaps				
2.	Futures				
3.	Forwards				
4.	Options purchased				
5.	Options written				
6.	Other interest rate derivatives				
7.	Total interest rate contracts				
B. Fo	reign Exchange Contracts				
8.	Swaps				
9.	Futures				
10.	Spot and forwards				
11.	Options purchased				
12.	Options written				
13.	Other foreign exchange contracts				
14.	Total Foreign Exchange				
15.	Other Derivative Contracts (* see below)				
16.	TOTAL DERIVATIVES				

^{*} Please complete the next form giving the list of derivative instruments comprising this item.

Other Derivative Contracts List

Institution Name:

Licence #:

Enter amount in US dollars to the nearest thousand, omitting \$000s.						
1	Name of Derivative Contract	Total Notional/Market Amount				
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						

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RISK ASSET RATIO CALCULATION - Scenario Woksheet

Risk Weights		On-Balance Sheet (i)	Off-Balance Sheet Items (Schedule C) (ii)	Total Risk Weighted Amount (iii)
1	0%			1.5
2	10%			
3	20%			
4	50%			1.
5	100%			
6	TOTAL			1

1 rejubilitetto	
8 Adjusted Risk Weighted Assets	
9 Capital Requirement	
10 Other Capital Requirement	
11 Total Capital Requirement	
12 Less: Adjusted Total Capital Base	RAR
13 Surplus/(Deficit)	
14 Risk Assets Ration (RAR)	

Capital Base Calculations

1.	Tier 1 Capital	
	1.1 Shareholders Equity (15.0)	
	1.2 Minority Interests (18.0)	
	1.3 Other (on a case by case basis)	
2.	Deductions	
	2.1 Goodwill and Other Intangible Assets (6.4)	
	2.2 Other (on a case by case basis)	
3.	Tier 2 Capital (<= 100% of Tier 1)	100%
	3.1 Unsecured Subordinated Debt (<= 50% of Tier 1 capital)(10.1)	50%
	3.2 Hybrid Debt/Equity Instruments (10.2)	
	3.3 General Loan Loss Reserves (<= 1.25% RWA*)(13.1)	1.25%
	3.4 Other (on a case by case basis)	
4.	Total Tier 1 and 2 Capital	
5.	Deductions	
	5.1 Affiliated Bank and Other Financial Institutions (5.2.1)	
	5.2 Locked-in Connected Loans (on a case by case basis)	
	5.3 Other (on a case by case basis)	
6.	Adjusted Total Capital Base	

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RISK ASSET RATIO CALCULATION - Scenario Worksheet

For quarter ended: Required ratio:

Asset Weight Calculatoins

On-Balance Sheet Weighted Amount Amount

Section 200	and the second of
and the last free to be	a state we also have

And the second second	
	and see the second
	States to a second





1.1 Cash (1.1)

1 0% Weight

Asset Weights

- 1.2 Gold and silver bullion (1.3)
- 1.3 Loans: Zone Λ central governments & central banks (4.1.1)
- 1.4 Loans covered by cash with legal right to set-off (23.1)

2 10% Weight

- 2.1 Securities: Zone A central government & central banks (2.1)
- 2.2 Investments: Zone A central government & central banks (5.1.1)
- 2.3 Loans collateralised by Zone A government securities (23.2)

3 20% Weight

- 3.1 Balances with and CDs issued by banks (1.2)
- 3.2 Cash items in process of collection (1.4)
- 3.3 Securities: Zone Λ other public sector (2.2)
- 3.4 Zone A: bank securities (2.3)
- 3.5 Reverese repurchase agreements: banks (3.1)
- 3.6 Loans: Zone A other public sector (4.1.2)
- 3.7 Loans: Zone A Banks (4.2.1)
- 3.8 Investments: Other Zone A government & public sector (5.1.2)
- 3.9 Investments: Zone A banks (5.1.3)
- 3.10 Loans collateralised by Zone Λ government securities (23.3)
- 3.11 Loans collateralised by Zone A bank guarantees (23.4)

4 50% Weight

4.1 Loans secured by residential mortgages (4.3.3)

5 100% Weight

- 5.1 Markotable securities: other (2.4)
- 5.2 Reverse repurchase agreements: other (3.2)
- 5.3 Loans: other government and public sector (4.1.3)
- 5.4 Loans: other banks (4.2.2)
- 5.5 Loans: industrial and commercial (4.3.1)
- 5.6 Loans: individuals (4.3.2)
- 5.7 Miscellaneous (4.3.4)
- 5.8 Investments in affiliated non-financial institutions (5.2.2)
- 5.9 Other securities (5.3)
- 5.10 Premises (6.1)
- 5.11 Other real estate owned (6.2)5.12 Equipment and other fixed assets (6.3)
- 5.13 Accrued interest (6.5)
- 5.14 Other assets (6.6)

6 Deduction From Assets

- 6.1 Unearned interest (4.4)
- 6.2 Specific loan loss reserves (4.5)
- 6.3 Loans covered by collateral or guarantees (23.0)
- 6.4 Fixed asset revaluation (16.0)
- 6.5 Locked in connected loans (on a case by case basis)
- 6.6 Other (on a case by case basis) Banks

7 Total On-Balance Sheet Risk-Weighted Assets

Zone A Countries

Australia	Luxembourg
Austria	Netherlands
Belgium	New Zealand
Canada	Norway
Denmark	Portugal
Finland	Saudi Arabia
France	Spain
Germany	Sweden
Greece	Switzerland
Iceland	Turkey
Ireland	United Kingdom
Italy	United States

Japan

This list is based on that used by the Basle Committee's Capital Convergence Accord which includes those countries which are full members of the OECD, (or countries with special lending arrangements with the IMF associated with the Funds General Agreement to Borrow) but excludes any country within this group which has rescheduled its external sovereign debt in the previous 5 years.

The list may be changed from time to time by the Financial Services Commission as circumstances require.

Zone B comprises all other countries not included in this list.

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Country Codes for Zones A and B Countries			
Country Name	Code	e	
Afghanistan	А	F	
Albania	A	L	
Algeria	D	Z	
American Samoa	А	S	
Andorra	A	D	
Angola	A	0	
Anguilla	А	G	
Antigua	A	А	
Argentina	A	R	
Armenia	A	M	
Aruba	A	W	
Australia	A	U	
Austria	A	Т	
Azerbaijan	Α	Z	
Bahamas	В	S	
Bahrain	В	Н	
Bangladesh	В	D	
Barbados	В	В	
Belarus	В	Y	
Belgium	В	Е	
Belize	В	Z	
Benin	В	J	
Bermuda	В	М	

Country Name	Code	1
Bhutan	В	Т
Bolivia	В	0
Bosnia and		
Herzegovina	В	A
Botswana	В	w
Brazil	В	R
British Virgin Islands	В	v
Brunei Darussalam	В	N
Bulgaria	В	G
Burkina Faso		
(formerly Upper Volta)	В	F
,	_	_
Burundi Cambodia (formerly	В	Ι
Kampuchea)	К	Н
Cameroon	С	М
Canada		
Canton and Enderbury	C	A
Islands	С	Т
Cape Verde	С	V
Cayman Islands	К	Y
Central African Rep.	С	F
Chad	Т	D
Chile	С	L
China, People's		
Republic	C	N
Christmas Island	С	x
Colombia	С	0

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Country Name	Code	
Congo	С	G
Congo, Democratic		
Republic (formerly Zaire)	С	D
Zallej	C	D
Costa Rica	С	R
Cote d'Ivoire	C	Ι
Croatia	Н	R
0.1		T T
Cuba	C	U
Cyprus	С	Y
Cyprus	C	1
Czech Republic	С	Z
Czechoslovakia,		
former	С	S
Denmark	D	K
	_	_
Djibouti	D	J
Demining		м
Dominica	D	М
Dominican Republic	D	0
Dominican Republic	D	<u> </u>
Ecuador	Е	С
Egypt	Е	G
El Salvador	S	V
E. (10.		
Equatorial Guinea	G	Q
Eritrea	Е	R
Lintou		R .
Estonia	Е	Е
Ethiopia	Е	Т
Falkland Islands	F	K
т ті і		
Faroe Islands	F	0
Fiji	F	J
0	1	I

Country C	Codes for	Zones A	and B	Countries
-----------	-----------	---------	-------	-----------

Country Name	Code	1
Finland	F	Ι
France	F	R
French Guiana	G	F
French Polynesia	Р	F
Gabon	G	A
Gambia	G	М
Georgia	G	Е
Germany, Federal Republic of	D	Е
Ghana	G	Н
Gibraltar	G	Ι
Greece	G	R
Greenland	G	L
Grenada	G	D
Guadeloupe	G	U
Guatemala	G	Т
Guernsey	G	G
Guinea	G	N
Guinea-Bissau	G	W
Guyana	G	Y
Haiti	Н	Т
Honduras	н	N
Hong Kong	н	K
Hungary	Н	U

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Country Name	Code	
Iceland	Ι	S
India	Ι	N
Indonesia	Ι	D
Iran	Ι	R
Iraq	Ι	Q
Ireland	Ι	Е
Isle of Man	Ι	М
Israel	I	L
Italy	Ι	Т
Jamaica	J	М
Japan	J	Р
Jersey	J	Е
Jordan	J	0
Kazakhstan	К	Z
Kenya	K	Е
Kiribati (Formerly Gilbert Islands)	К	Ι
Korea North, Democratic People's Republic of	K	Р
Korea South, Republic of	К	R
Kuwait	К	W
Kyrgystan	К	G
Lao P.D. Republic	L	A
Latvia	L	v
Lebanon	L	В
Lesotho	L	S

Country Name	Code	
Liberia	L	R
Libyan Arab		K
Jamahiriya	L	Y
Liechtenstein	L	Ι
Lithuania	L	Т
Luxembourg	L	U
Macao	М	0
Macedonia	М	К
Madagascar (Malagasy Republic)	М	G
Malawi	М	w
Malaysia	М	Y
Maldives	М	v
Mali	М	L
Malta	М	Т
Martinique	М	Q
Mauritania	М	R
Mauritius	М	U
Mexico	М	X
Moldova	М	D
Monaco	М	С
Mongolia	М	N
Montserrat	М	s
Morocco	М	А
Mozambique	М	Z
Myanmar, Union of (formerly Burma)	М	М

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Country Name	Code	
Namibia	N	А
Nauru	N	R
Nepal	N	Р
Netherlands	N	L
Netherlands Antilles	А	N
New Caledonia	N	С
New Zealand	N	Ζ
Nicaragua	N	Ι
Niger	N	Е
Nigeria	N	G
Norway	N	0
Oman	0	М
Other Country	z	Ζ
Pakistan	Р	К
Palestinian Autonomy	Р	S
Panama	Р	А
Papua New Guinea	Р	G
Paraguay	Р	Y
Peru	Р	Е
Philippines	Р	Н
Pitcairn Islands	Р	Ι
Poland	Р	L
Portugal	Р	Т
Qatar	Q	А

Country Name	Code	
Reunion	R	Е
Romania	R	0
Russia	R	U
Rwanda	R	W
San Marino	S	М
Sao Tome and Principe	S	Т
Saudi Arabia	s	А
Senegal	s	N
Seychelles	s	С
Sierra Leone	s	L
Singapore	s	G
Slovakia	s	К
Slovenia	s	Ι
Solomon Islands	S	В
Somalia	s	0
South Africa	Z	А
Spain	Е	S
Sri Lanka	L	К
St. Helena	s	Н
St. Kitts Nevis	S	Q
St. Lucia	L	С
St. Pierre and Miguelon	Р	М
St. Vincent and the Grenadines	v	С
Sudan	S	D

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Country Name	Code	
Suriname	S	R
Swaziland	S	Z
Sweden	s	Е
Switzerland	С	Н
Syria Arab Republic	s	Y
Taiwan	Т	W
Tajikistan	Т	J
Tanzania, United Republic of	Т	Z
Thailand	Т	Н
Тодо	Т	G
Tonga	Т	0
Trinidad and Tobago	Т	Т
Tunisia	Т	N
Turkey	Т	R
Turkmenistan	Т	М
Turks and Caicos	Т	С
Tuvalu (formerly the Ellice Islands)	Т	v
Uganda	U	G
Ukraine	U	А
United Arab Emirates (incl. Dubai, Abu Dhabi)	А	Е
United Kingdom (excludes Guernsey, Isle of Man and Jersey)	U	К
United Kingdom (includes Guernsey,		
Isle of Man and Jersey)	G	В

Country Name	Code	I
United States	U	s
Uruguay	U	Y
US Pacific Islands	Р	U
US Virgin Islands	U	v
Uzbekistan	U	Z
Vanuatu	v	U
Vatican City State (Holy See)	v	А
Venezuela	v	Е
Vietnam	v	N
Wallis and Futuna Islands	W	F
Western Sahara	W	Н
Western Samoa	W	S
Yemen, The Republic of	Y	Е
Yugoslavia, former	Y	U
Zaire	Z	R
Zambia	Z	М
Zimbabwe	Z	W

DECLARATIONS

I _______ of ______(address), acting for and on behalf of _______ (licensee) confirm that, during the period under review, the licensee has complied with the requirements of the relevant financial services legislation.

I confirm that, as at the end of the period covered by this return, the licensee is able to meet its liabilities as they fall due.

I further confirm that the information provided in this return is, to my knowledge and belief, complete and accurate.

I understand that the Financial Services Commission may take enforcement action against a licensee under the Financial Services Commission Act, 2001 if any false, inaccurate or misleading information is provided to the commission, whether on making an application for a license or subsequent to the issue of the licence.

(Signature)	(Position held)
	(Date dd/mm/yyyy)

NOTES FOR COMPLETION

1. Complete and submit the form within the period specified.

2. For definitions of the items, refer to the "Guidance Notes on Preparing Bank Returns".

3. Where an (*) appears, please give details.

4. Enter amount(s) in US dollars to the nearest thousand, omitting \$000s.

5. If you have any difficulties completing the schedule please contact the Banking & Fiduciary Services Division at the address/telephone number below.

6. This form should be submitted to:

Financial Services Commission Pasea Estate Road Town, Tortola British Virgin Islands

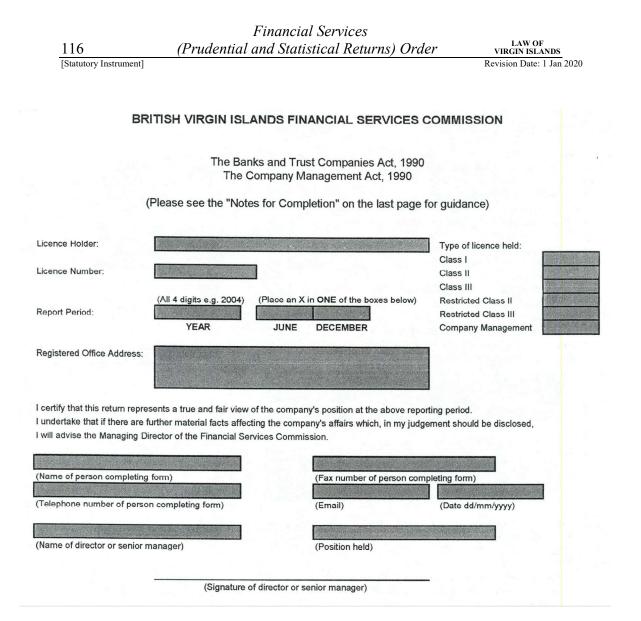
Tel: (284) 494 4190 Fax: (284) 494 5016 E-mail: returns@bvifsc.vg Website: www.bvifsc.vg

SCHEDULE 3

(Section 4)

PRUDENTIAL RETURN FOR FIDUCIARY SERVICES BUSINESS

The Prudential Return is to be completed and filed with the Financial Services Commission on or before the last day of the month following December of each year. (Amended by S.I. 29/2018)



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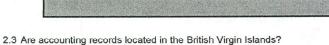
COMPANY BACKGROUND INFORMATION

1. COMPANY INFORMATION

- 1.1 What is the licensee's total asset size? (USD \$000's)
- 1.2 What is the licensee's net worth? (USD \$000's)
- 1.3 Number of shareholders
- 1.4 Number of shareholders holding 10% or more of share capital
- 1.5 Number of shares issued in the last six (6) months
 - i) Number partly paid
 - ii) Number fully paid
- 1.6 Total number of shares issued to date
- 1.7 Has the Commission approved all changes in:
 - i) Board of Directors (Senior Officers)
 - ii) Shareholders

2. MIND & MANAGEMENT / ACCOUNTING RECORDS

- 2.1 Is mind and management (the authority to make major decisions regarding on-going operations) located in the British Virgin Islands?
- 2.2 If not, where? (specify full postal address, including country)



2.4 If not, where? (specify full postal address, including country)

3. APPROVED FUNCTIONARIES

Please state the number of approved senior officers of the licensee

4. CONTINGENT LIABILITIES

- 4.1 Are there any Contingent Liabilities i.e. pending litigation which were not reported in the last audited financial statements?
- 4.2 If so, please provide details.

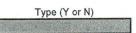
5. SUBSIDIARIES

- 5.1 Have any new subsidiaries of the licensee been established in the past six (6) months?
- 5.2 Please state the number of approved licensee subsidiaries
- 5.3 Please state the number of subsidiaries listed on the licence.

6. OTHER ISSUES

- 6.1 Are there any industry and/or market related issues to which you wish to draw the Commission's attention?
- 6.2 If so, please provide details.

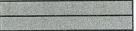
Type (Y or N)



Type (Y or N)

Type (Y or N)

Type (Y or N)



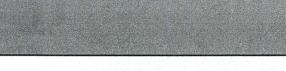
STAFFING

7. EMPLOYEES

Please state the number of staff employed to carry on the licensee's regulated and any other activities.

8. AML/CFT TRAINING

- 8.1 Has the licensee conducted anti-money laundering/countering the financing of terrorism training for staff in the last six (6) months?
- 8.2 If yes, please provide details.



- 8.3 Does the licensee maintain an AML/CFT manual for use by its employees?
- 8.4 Does the licensee maintain a manual of guidelines on the identification
 - and treatment of politically exposed persons (PEPs)?

9. INVESTIGATION OF SENIOR OFFICERS OR SHAREHOLDERS

- 9.1 Are there any Senior Officers / Shareholders who have been / are subject to investigations under the Proceeds of Criminal Conduct Act?
- 9.2 If yes, please provide details.



10. COMPLIANCE OFFICER

Please identify the licensee's Compliance Officer.

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Type (Y or N)

Type (Y or N)

Type (Y or N)

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11. CLIENT SERVICES

11.1 What number of the licensee's clients use the following services?

- 11.1.1 Acting as a professional trustee
- 11.1.2 Acting as a professional protector relative to trusts
- 11.1.3 Acting as a professional administrator
- 11.1.4 Incorporation/Continuation of companies
- 11.1.5 Provision of registered agent/registered office services
- 11.1.6 Provision of directors or officers
 - Individual

Corporate

11.1.7 Provision of nominee shareholders

11.2 Please identify the proportion of the licence-holder's client type.

- 11.2.1 Written Introductions¹
- 11.2.2 Applicant for Business²

11.3 Does the licence holder administer the activities of other FSC regulated entities?

11.4 If yes, plese provide details.



12. GEOGRAPHIC LOCATIONS OF CLIENT BASE

12.1 Indicate the percentage of client business from the following geographic locations. (Client of Record)

- 12.1.1 North America
 - 12.1.2 South America
- 12.1.3 Europe
- 12.1.4 Asia
- 12.1.5 Africa
- 12.1.6 Other

13. COMPANIES MANAGED

13.1 Please state the total number of companies adminstered by the licensee

- 13.1.1 Please state the <u>number</u> of active companies held by the licensee
- 13.1.2 Please state the number of companies held by the licensee
 - that have been struck off

13.2 Please indicate how many companies managed by the licensee have a risk rating of:

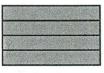
- a. Low
- b. Medium
- c. High

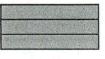
13.3 Please state the total value of client's assets under management

¹ "Written Introduction" has the meaning established in the AMLTF Code of Practice as "a business relationship or one-off trasaction between an entity or professional and a customer or applicant for business established through a written introduction by a thrid party (the "introducer") who has a business relationship with the applicant for business or customer

² "Applicant for Business" is defined in the AMLTF Code of Practice as "the party proposing to a Virgin Islands entity that they enter into a business relationship or one-off transaction"

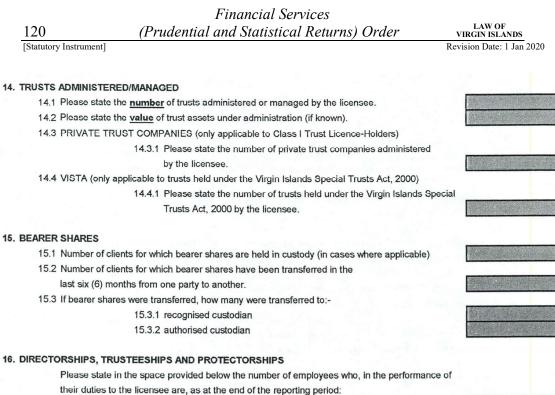








Type (Y or N)



(a) acting as senior officer of a company or other body ¹

(b) acting as trustee or protector of a trust

INSURANCE INFORMATION

17. PROFESSIONAL INDEMNITY INSURANCE

Please provide a summary of the licensee's current professional indemnity insurance cover against losses arising out of claims of negligence or breach of duty, dishonesty of employees, loss of documents or any other loss

- incurred while carrying out regulated activities.
- Please include details of the level of cover held, the excess payable and

any reinsta	tements or	exclusions.
-------------	------------	-------------

Name of insurer	Level of cover	Level of excess payable	Territorial limits	Details of any reinstatements or exclusions

1. A "senior officer" has the meaning provided in the Regulatory Code, 2009

Revision Date: 1 Jan 2020

[Statutory Instrument]

DECLARATIONS

18. DECLARATIONS

18.1 I ______ of ______ (address), acting for and on behalf of _______ (licensee) confirm that, during the period under review, the licensee has complied with the requirements of the relevant financial services legislation.

I confirm that, as at the end of the period covered by this return, the licensee is able to meet its liabilities as they fall due.

I confirm that the directors/partners of the licensee have reviewed the insurance cover held by the licensee and consider that such cover is adequate and appropriate.

I further confirm that the information provided in this return is, to my knowledge and belief, complete and accurate.

I understand that the Financial Services Commission may take enforcement action against a licensee under the Financial Services Commission Act, 2001 if any false, inaccurate or misleading information is provided to the commission, whether on making an application for a license or subsequent to the issue of the licence.

States and the second second	
(Signature)	(Position held)

(Date dd/mm/yyyy)

Notes for completion:	
1. Complete and submit the form within the	period specified above.
2. For definitions of the items, refer to the "G	Suidance Notes on Fiduciary Services Returns"
3. For licence holders with multiple licences	you may opt to submit one return with an
attachment listing the names of the other lice	ence holders which have been included in the return
4. If you have any difficulty completing this f	orm, please contact the Banking and Fiduciary
Services Division at the address/telephone n	
5. Please provide statistical information whe	re feasible.
6. This return should be submitted to:	
BVI Financial Services Commission	Tel: (284) 494 6430/4190
Pasea Estate	Fax: (284) 494 5016
P.O. Box 418	E-mail: tcspreturns@bvifsc.vg
Road Town, Tortola	
British Virgin Islands VG1110	

SCHEDULE 4

(Section 7)

Part i

NOTIFICATION BY REGULATED PERSON TO RECTIFY RETURN

We,....., (name of regulated person) of

that we have become aware that information contained in our prudential/statistical return*

filed with the Commission contains inaccurate or misleading information which we now seek

to rectify as follows:

No.	Relevant Return	Date Filed	Inaccurate/Misleading Information Provided	Correct Information

^{*} Please delete as necessary

Revision Date: 1 Jan 2020

[Statutory Instrument]

PART II

NOTIFICATION BY THE FINANCIAL SERVICES COMMISSION TO RECTIFY RETURN

To:

(insert name and address of relevant regulated person)

You are hereby notified that the Financial Services Commission has discovered or become aware of information contained in your prudential/statistical* return filed with the Commission on the day of, 20 which may be inaccurate or misleading.

Accordingly, you are directed to review the information and provide

the Commission with the accurate information within 7 days from the date here of using the Form below and providing the required information thereunder:

No.	Relevant Return	Date Filed	Inaccurate/Mislea ding Information Provided	Correct Information

Dated this, 20.

^{*} Please delete as necessary

	Financial Services	
124	(Prudential and Statistical Returns) Order	LAW OF VIRGIN ISLANDS
[Statutory Instrument]		Revision Date: 1 Jan 2020
Signad		
Signed		
(For and on beha	lf of(name of regu	lated person))
X .		1 //
Please indicate belo	w the full name, title and address of signatory	
•••••		
This Notification is	s issued on behalf of the Financial Services Commiss	ion this
This notification is	s issued on benan of the Financial Services Commiss.	
day of	, 20 by:	
•••••		
(Provide name, title	e and signature of official issuing Notification)	

SCHEDULE 5

(Section 9)

ADMINISTRATIVE PENALTIES

Section of Order Breached	Category of Contravention ad Description	Penalty (Maximum)
4(1)	(a) Failure to file a prudential or statistical return as required by the Order (where an extension is not granted pursuant to section 6)	\$400 for the first 30 days, and \$100 for each additional month or part thereof, during which the return remains outstanding
	(b) Failure to file a prudential or statistical return within the period of extension (where an extension had been granted pursuant to section 6)	\$600, and \$100 for each additional month or part thereof during which the return remains outstanding
4(2)	Failure to ensure that information contained in a prudential or statistical return is accurate and complete (this relates to information that is materially inaccurate or misleading)	\$300
7(1)	Failure to notify the Commission of knowledge of inaccurate or misleading information contained in a filed return and providing accurate information within the time prescribed	\$700
7(2)	Failure to provide accurate information as required by the Commission within the time prescribed to correct inaccurate information contained in a filed return.	\$700