



## FIT AND PROPER DECLARATION

This declaration must be completed and signed by each Director, Owner, Partner, Legal or Beneficial Owner and Senior Officer of the Supervised Entity. In order for the FIUTT to assess “Fit and Proper” in accordance with section 18BB of the Financial Intelligence Unit of Trinidad and Tobago Act, Chap. 72:01. This section should be completed by selecting either **YES** or **NO**. If the answer is “**YES**” to any of the following questions, please provide full details on a separate sheet.

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| 1. Have you been convicted of any criminal or civil offence by any court in Trinidad and Tobago or elsewhere? (Minor motoring offences may be omitted).                                                              | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 2. Have you ever been charged with any offence that is currently awaiting legal action?                                                                                                                              | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 3. Has any disciplinary, enforcement, disqualification or similar proceeding been taken against you by any professional body, regulatory body or association or are any such proceedings pending?                    | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 4. Have you been found guilty of conducting any unauthorised regulated activities or been investigated for possible conduct of unauthorised regulated activities?                                                    | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 5. Has any application for your regulatory approval ever been refused?                                                                                                                                               | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 6. Have you been the subject of any bankruptcy proceedings or filed for bankruptcy or had a receiver appointed in respect of any of your property?                                                                   | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 7. Have you been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?                                                                             | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 8. Have you ever been expelled or excluded from, or refused admission to, a professional body?                                                                                                                       | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 9. Have you been refused, restricted in, or had suspended, the right to carry on trade business or profession for which a specific license, authorisation, registration, membership or other permission is required? | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |
| 10. Have you ever been asked to resign, or been dismissed from any fiduciary office or position of trust?                                                                                                            | <input type="checkbox"/> <b>YES</b><br><input type="checkbox"/> <b>NO</b> |

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| <p>11. Are you aware of any matter relating to your character, reputation or financial position that the FIUTT may regard as relevant in considering this application?</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <p><input type="checkbox"/> YES<br/><input type="checkbox"/> NO</p> |
| <p>12. Has any business with which you have been associated as a director or senior officer ever entered a formal insolvency process or ceased trading whilst insolvent.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <p><input type="checkbox"/> YES<br/><input type="checkbox"/> NO</p> |
| <p>13. Please select the position you hold with the entity:</p> <p>Director <input type="checkbox"/>    Owner <input type="checkbox"/>    Partner <input type="checkbox"/>    Beneficial Owner <input type="checkbox"/>    Senior Officer <input type="checkbox"/></p> <p><b><i>I hereby certify that the statements and information provided herein are true and correct to the best of my knowledge and belief. I am aware that any misrepresentation made by me, whether knowingly or recklessly, constitutes an offence punishable on summary conviction by a fine of two hundred and fifty thousand dollars and by imprisonment for two years in accordance with section 18K of the Financial Intelligence Unit of Trinidad and Tobago Act, Chap. 72:01.</i></b></p> |                                                                     |
| <p>Print Name:                      Mr./Mrs./Ms.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <p>Signature:</p>                                                   |
| <p>Position held in the Business Entity:</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <p>Date of signature:</p>                                           |