



**COMPLIANCE OFFICER &
ALTERNATE COMPLIANCE OFFICER
APPLICATION FORM**

NOTES TO APPLICANTS

- A. This form should be completed by all Reporting Entities specified in Part C of the First Schedule (except entities at serial numbers 7 and 8) of the Anti-Money Laundering and Countering the Financing of Terrorism Act 2020 (“AML/CFT Act) and submitted to the Financial Intelligence Unit (“FIU”).
- B. An application for approval should be made by the Reporting Entity, not by the prospective Compliance Officer or Alternate Compliance Officer.
- C. A single application form may be submitted for a group of companies provided that those companies are subsidiaries of a common parent or share common ownership.
- D. If a single application is submitted for a group of companies, Sections A, F and G shall be completed by each Reporting Entity in the group. Please print additional pages of these sections as necessary.
- E. Please ensure that the documents specified in the Document Checklist are submitted in support of this application.
- F. Please submit the completed application form, together with all supporting documents to:

Financial Intelligence Unit
P.O. Box 7021
Ile Perseverance, Seychelles

DOCUMENTS CHECKLIST

- Certified Copy of Identification Documents (National Identity Card or Passport Identification Page(s))
- Certified Copies of Professional and Educational Qualifications
- Résumé or Curriculum Vitae:
 - Outlining the relevant qualifications and experience of the proposed Compliance Officer or Alternate Compliance Officer; and
 - Including the names, addresses and telephone numbers of previous employers
- Police Certificate or Sworn Affidavit (where a certificate is not issued) as to the non-criminal record of the applicant for the past three years
- Professional Reference
 - This should be from a person who can speak to the experience and ability of the prospective Compliance Officer or Alternate Compliance Officer
- Personal Reference
 - This should be from a person who can vouch for the individual's conduct and character
- Bank Reference
 - This should be addressed to the Director of the FIU
- Any other supporting documents deemed relevant for the purposes of this Application. *Please list the additional documents provided (if any)*

SECTION A – REPORTING ENTITY DETAILS

This section should be completed by the Reporting Entity submitting the Application Form.

| | |
|----------------------------|--|
| Name of Reporting Entity: | |
| Physical Business Address: | |
| Reporting Sector: | |

Details of Person to be contacted in relation to this Application:

| | |
|-------------------|--|
| Full Name: | |
| Position: | |
| Telephone Number: | |
| Email: | |

SECTION B – APPLICANT PERSONAL DETAILS

This section should be completed by or on the behalf of the prospective Compliance Officer or Alternate Compliance Officer.

Approval Request for:

Compliance Officer

Alternate Compliance Officer

| | | |
|---|--|--------------------------------------|
| Surname | | |
| Forename(s) | | |
| Maiden Name (if applicable) | | |
| Previous Names (if any) <i>Please provide Date of Change and Reason for Change</i> | | |
| Date of Birth | | |
| Place of Birth: | | |
| National Identity Number and/or Passport Number <i>Please select the type of identification being provided</i> | National Identity Card <input type="checkbox"/> | Passport <input type="checkbox"/> |
| Current Residential Address <i>Please state date from which you are resident at this address from (Month/Year)</i> | | |
| Contact Details | Office Number: | |
| | Mobile Number: | |
| | Email Address: | |

SECTION C - EDUCATION & QUALIFICATIONS

This section should be completed by or on the behalf of the prospective Compliance Officer or Alternate Compliance Officer.

Education

| Institution Attended | Degree/Qualification | Year Completed |
|----------------------|----------------------|----------------|
| | | |
| | | |
| | | |
| | | |
| | | |

Memberships

| Organisation/Association | Membership Status (Student, Associate, Fellow) | Member Since | Membership No. |
|--------------------------|--|--------------|----------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

SECTION D – EMPLOYMENT HISTORY

This section should be completed by or on the behalf of the prospective Compliance Officer and Alternate Compliance Officer.

Current Employment

| | |
|--------------------------------|--|
| Name of Employer: | |
| Address: | |
| Telephone: | |
| E-Mail: | |
| Date of Appointment: | |
| Current Position: | |
| Supervisor/Contact Person: | |
| Name of Regulator(s) (If Any): | |
| Responsibilities: | |

Previous Employment

Please indicate positions held during the last ten years. Please use additional pages as required.

| | |
|--------------------------------|--|
| Name of Employer: | |
| Nature of Business: | |
| Address: | |
| Telephone: | |
| E-Mail: | |
| Date of Employment (From/To): | |
| Position Held | |
| Supervisor/Contact Person: | |
| Name of Regulator(s) (If Any): | |
| Responsibilities: | |
| Reason for Leaving: | |

SECTION E – FITNESS & PROPRIETY

This section should be completed by the prospective Compliance Officer and Alternate Compliance Officer.

This section should be completed by selecting (✓) either YES or NO.

Please list any incident or action in any jurisdiction, with the exception of minor traffic offences. Please note that no time restriction applies to the matters you are asked to disclose.

If the answer is “YES” to any of the following questions, please provide full details on a separate sheet.

1. Have you been convicted of any criminal or civil offence by any court in the Seychelles or elsewhere? (Minor motoring offences may be omitted).

YES

NO

2. Have you ever been charged with any offence that is currently awaiting legal action?

YES

NO

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?

YES

NO

4. Have you been found guilty of conducting any unauthorised regulated activities or been investigated for possible conduct of unauthorised regulated activities?

YES

NO

5. Has any application for your regulatory approval ever been refused?

YES

NO

6. Have you been the subject of any bankruptcy proceedings or filed for bankruptcy, entered into a compromise agreement or other similar arrangement with your creditors or had a receiver appointed in respect of any of your property?

YES

NO

7. Have you at any time failed to satisfy any personal or business-related debts due?

YES

NO

8. Have you been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?

YES

NO

9. Have you ever been expelled or excluded from, or refused admission to, a professional body?

YES

NO

10. 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?

YES

NO

11. Have you ever been asked to resign, or been dismissed from any fiduciary office or position of trust?

YES

NO

12. Are you aware of any matter relating to your character, reputation or financial position that the FIU may regard as relevant in considering this application?

YES

NO

13. Has any business with which you have been associated as a director, senior officer or officer ever entered a formal insolvency process or ceased trading whilst insolvent, while you were associated with it or within one year after your association ceased?

YES

NO

SECTION F - RELATIONSHIP WITH REPORTING ENTITY

This section should be completed by the Reporting Entity.

1. What other positions or offices (if any) does or will the prospective Compliance Officer or Alternate Compliance Officer hold with the Reporting Entity?

2. Does the prospective Compliance Officer or alternate Compliance Officer hold any shares in, or have any interest, legal or equitable, direct or indirect, in the firm?

YES

NO

3. If the answer to 2 above is “yes” provide details of shareholding or other interest.

4. Is the prospective Compliance Officer or Alternate Compliance Officer able, directly, to exercise more than 10% of the voting power of the Reporting Entity?

YES

NO

5. If the answer to 5 above is “yes” provide details.

SECTION G – DECLARATIONS

The following declaration should be completed by the Reporting Entity in relation to the information provided in Sections A and F.

The information provided in sections A and F is, to the best of our knowledge and belief, complete and true and there are no other facts or matters relevant to this application of which the FIU should be aware.

We undertake to inform the FIU forthwith, of any material changes to the information supplied on this application.

Signed on behalf of the Reporting Entity

Signature: _____

Name of Authorised Signatory: _____

Job Title / Position: _____

Date: _____

The following declaration should be completed by the prospective Compliance Officer / Alternate Compliance Officer in relation to the information provided in Sections B, C, D and E.

I certify that the information provided in sections B, C, D and E, is to the best of my knowledge and belief, complete and true and there are no other facts or matters relevant to this application of which the supervisory authority should be aware.

I undertake to inform the supervisory authority, forthwith, of any material changes to the information supplied on this application.

Signature: _____

Name of Prospective Compliance Officer/
Alternate Compliance Officer: _____

Date: _____