



APPLICATION FOR THE REGISTRATION OF NON-REGULATED SERVICE PROVIDERS (NRSPs)

Pursuant to Section 155(1) of the Proceeds of Crime Act 2013, a Non-Regulated Service Provider shall not carry out any type of relevant business in or from within St. Vincent and the Grenadines unless registered by the FIU.

SECTION I

1. Name of Legal Entity/Individual:			
2. Nature of Business: Real Estate Agent ()	Car dealer()	Attorney/ Notary()	
Accountant/Auditor()	Jeweller()	Casino()	

3. Country of incorporation / establishment:

4. Date of incorporation / establishment¹:

5. Registered Office (if applicable):

6. Principal business address in Saint Vincent and the Grenadines:

7. Mailing address in Saint Vincent and the Grenadines (if different)

8. Website address (if applicable):

9. Are there offices located outside of Saint Vincent and the Grenadines? *If yes, please list each office and the jurisdiction below.*

SECTION II

10. Tick all relevant boxes to describe the type of service carried out or to be carried out by your business/company

a. Acts as a real estate agent involved in transactions concerning the buying and selling of real estate. What is the predominant nature of the business? Commercial <input type="checkbox"/> Residential <input type="checkbox"/> Other <input type="checkbox"/> specify _____	<input type="checkbox"/>
b. Provides gambling services (including internet gambling) or operates casinos or common gaming houses	<input type="checkbox"/>

¹ Provide copy of the Articles and Certificate of Incorporation.



c. Provides the service of selling or leasing new or used motor vehicles.	<input type="checkbox"/>
d. Deals and trades in goods, including precious stones and precious metals	<input type="checkbox"/>
e. Lawyers / Notaries preparing transactions for clients concerning the following activities— (i) buying and selling of real estate <input type="checkbox"/> (ii) managing of client money, securities or other assets <input type="checkbox"/> (iii) management of bank, savings or securities accounts <input type="checkbox"/> (iv) organisation of contributions for the creation, operation or management of companies <input type="checkbox"/> (v) creation, operation or management of legal persons or legal arrangements and buying and selling of business entities <input type="checkbox"/>	
f. Accountants / Auditors preparing transactions for clients concerning the following activities— (i) buying and selling of real estate <input type="checkbox"/> (ii) managing of client money, securities or other assets <input type="checkbox"/> (iii) management of bank, savings or securities accounts <input type="checkbox"/> (iv) organisation of contributions for the creation, operation or management of companies <input type="checkbox"/> (v) creation, operation or management of legal persons or arrangements, and buying and selling of business entities <input type="checkbox"/>	
g. Other Independent Legal Professionals preparing transactions for clients concerning the following activities— (i) buying and selling of real estate <input type="checkbox"/> (ii) managing of client money, securities or other assets <input type="checkbox"/> (iii) management of bank, savings or securities accounts <input type="checkbox"/> (iv) organisation of contributions for the creation, operation or management of companies <input type="checkbox"/> (v) creation, operation or management of legal persons or arrangements, and buying and selling of business entities <input type="checkbox"/>	

SECTION III

11. State the number of employees:
12. Details of the Compliance/Reporting Officer Name: _____ Address: _____ Nationality: _____ ID#, DP#, PP# (Any 2): _____ Telephone: _____ Email: _____ Fax: _____



13. List the date of appointment of all directors and senior officers of the business / company.²

	Full Name of Director(s)	Address	Job title/role	Nationality	Date of appointment	ID#,DL#, PP# (Any 2)	Contact info
1.							
2.							
3.							
4.							
5.							

14. List all beneficial owners, partners and principals of the business / company.

	Full Name of Beneficial Owner (s)	Address	Percentage Interest	Nationality	ID#, DL#, PP# (Any 2)	Contact info
1.						
2.						
3.						
4.						
5.						

15. (a) Have any of the directors/officers ever been convicted of any criminal offences?

Yes

No

(b) Have any of the directors/officers ever been arrested, detained, charged, indicted or summoned to answer for any criminal offence of which the result is still pending?

Yes

No

If you have answered yes to either (a) or (b) please give details (list all cases without exception).

16. Is the business regulated by a foreign regulatory authority? Yes

No

If yes, name the regulator and provide a copy of license or registration _____

17. Kindly provide a copy of your business plan.

² Provide an organizational chart and audited financial statements (if available) OR unaudited financial statements for the last 2 years plus unaudited accounts for the period ending in the quarter most recently completed.



SECTION IV

18. Please indicate the composition of your business clientele, in percentage terms.

a. Foreign Politically Exposed Persons ³ _____

b. Domestic Politically Exposed Persons ⁴ _____

c. Clients from International Organisations⁵ _____

d. High net-worth individuals⁶ _____

e. Non-Resident or Overseas Clients. _____

f. Clients with foreign business _____

g. Clients that are legal arrangements ⁷ _____

h. Clients that are legal entities/persons⁸ _____

i. Professional Intermediaries⁹ _____

i. Resident _____

j. Other Please specify _____

19. Kindly state the Annual Income of your Business/ Company. \$ _____ (EC)

20. What percentage of business revenue 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	

³ Foreign Politically Exposed Persons are individuals who are or have been entrusted with prominent public functions by a foreign country such as Heads of State or of government; senior politicians; senior government, judicial or military officials; senior executives of state owned corporation;, important political party officials.

⁴ Domestic Political Exposed Persons are individuals who are or have been entrusted domestically with prominent public functions, i.e. Heads of State or of government; senior politicians; senior government, judicial or military officials; senior executives of state owned corporations; important political party officials.

⁵ These are persons who are or have been entrusted with a prominent function by an international organization, i.e. directors, Deputy Directors and Members of the Board or equivalent functions.

⁶ High net-worth individuals are persons holding financial assets (excluding their primary residence) with a value greater than \$1 million dollars (EC).

⁷ Legal Arrangement refers to express trusts or other similar legal arrangements such as fiducie, treuhand and fideicomiso. Express trust refers to a trust clearly created by the settlor, usually in the form of a document, example, a written Deed of Trust. They are to be contrasted with trusts which come into being through the operation of the law and which do not result from the clear intent or decision of a settlor to create a trust or similar arrangement.

⁸ Legal persons refer to any entities other than natural persons that can establish a permanent customer relationship with a financial institution or otherwise own property such as companies, body corporate, foundations, partnership, associations and other relevantly similar entities.

⁹ Intermediary means a person who has or seeks to establish a business relationship or to carry out an occasional transaction on behalf of his or her customer / client with a service provider, so that the intermediary becomes a customer of the service provider.



SECTION V

This application to register as a non-regulated service provider is made under regulation 4 of the Anti-Money Laundering and Terrorist Financing (Non-Regulated Service Providers) Regulations, 2019.

I declare that to the best of my knowledge and belief all the information I have given in this application is correct.

I am aware that, under the Anti-Money Laundering and Terrorist Financing (Non-Regulated Service Providers) Regulations 2019, it is an offence to –

- (a) provide any information, make any representation or submit any document that I know, suspect or have reasonable grounds to suspect to be false or materially misleading or do not believe to be true; or
- (b) recklessly provide any information, make any representation or submit any document or return that is false or materially misleading.

And a Non-Regulated Service Provider who commits this offence is liable –

- (a) on summary conviction to a fine of \$50,000 or to imprisonment for two years or to both; or
- (b) on conviction on indictment to a fine of \$100,000 or to imprisonment for two years or to both.

I understand that it is a requirement under regulation 9 of the Anti-Money Laundering and Terrorist Financing (Non-Regulated Service Providers) Regulations 2019 that the Financial Intelligence Unit be provided with adequate and accurate changes to the information supplied in this application form within 14 days of the non-regulated service provider first becoming aware of the change.

Name: _____

Signature: _____

Position: _____

Date: _____ day of _____ 20_____

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