



FINANCIAL SERVICES AUTHORITY

**APPLICATION FOR REGISTERED AGENT AND TRUSTEE LICENCE
UNDER THE REGISTERED AGENT AND TRUSTEE (LICENSEE) ACT, CHAPTER
105 OF THE REVISED LAWS OF ST. VINCENT AND THE GRENADINES, 2009
("THE ACT")**

APPLICANT

Submitted By:

Name of Applicant

**SAINT VINCENT AND THE GRENADINES
REGISTERED AGENT AND TRUSTEE (LICENSING) REGULATIONS,
CHAPTER 154 OF THE REVISED LAWS OF
SAINT VINCENT AND THE GRENADINES, 2009**

[Regulations 2, 3, 5, 6, 8 and 9]

Application for Registered Agent and Trustee Licence

(Complete in Duplicate)

Name of Applicant

Every natural person, partnership or company applying for a licence under the Registered Agent and Trustee Licensing Act, Chapter 105 of the Revised Laws of Saint Vincent and the Grenadines, 2009 shall submit in duplicate to the Executive Director the following particulars.

The Applicant shall also attach a certified or bank cheque for the Fee for Application for Licence in the amount of Five Hundred US Dollars (US \$500.00):

Application Type:

Registered Agent Registered Trustee. Private Trustee

Applicant will also be a Financial Fiduciary¹

(If applicant will also be a financial fiduciary, attach to the Application, the information described in Schedule A of the Registered Agent and Trustee Licensing Act)

1. NAME OF APPLICANT:

¹ In accordance with the Registered Agent and Trustee (Licensing) Act

2. ADDRESS IN THE STATE OF THE PRINCIPAL OFFICE OF THE APPLICANT AND, IN THE CASE OF A COMPANY, ITS REGISTERED OFFICE:

--

3. IN THE CASE OF A COMPANY OR PARTNERSHIP:

The names and addresses of all directors or partners and their nationalities:

Name	
Address	
Office	
Citizenship	
Residency	

4. IN THE CASE OF A COMPANY OR PARTNERSHIP:

The names and addresses of all shareholders or partners and their nationalities

Name	
Address	
Citizenship	
Residency	

5. IN THE CASE OF A COMPANY OR PARTNERSHIP:

a) The names and addresses of all officers and managers, and of foreign agents or offices of the company or partnership

Name	
Address	
Citizenship	
Residency	

b) *Attach hereto as Attachment "5(b)"* a description of any material contractual arrangements with such persons.

- c) *Attach hereto as Attachment "5(c)"* a written agreement by which such persons and their employees agree to be bound by the provisions of this Act and to submit to the jurisdiction of the High Court of Saint Vincent and the Grenadines for purposes of enforcement of such agreement.

6. IN THE CASE OF A COMPANY OR PARTNERSHIP:

- (a) the name and address of one of its officers or partners who is the authorised agent resident in the State to accept on behalf of the Applicant service of process and any notices required to be served on it:

Name	
Address	
Telephone	
Fax	
Email	

- (b) the name and address of another of its officers or partners who, in the absence or inability to act of the officer named in subparagraph (a), is the authorised agent resident in the State of the Applicant for the purposes of subparagraph (a):

Name	
Address	
Telephone	
Fax	
Email	

- (c) in the case of a company, *attach hereto as Attachment "6(c)"* a copy of the certificate of incorporation or articles of incorporation or continuation and by-laws of the Applicant in the State under the Companies Act, Chapter 143 of the revised Laws of Saint Vincent and the Grenadines verified by an affidavit sworn by a director or officer and notarised.

7. NAMES AND ADDRESSES OF THE SOLICITOR OR ATTORNEY-AT-LAW IF ANY, OF THE APPLICANT:

Name	
Address	
Telephone	
Fax	
Email	

Attach hereto as Attachment "7(b)" a letter from the solicitor confirming that they act for the Applicant.

8. NAMES AND ADDRESSES OF THE AUDITORS OF THE APPLICANT:

Name	
Address	
Telephone	
Fax	
Email	

Attach hereto as Attachment "8(b)" a letter from the auditors confirming that they act for the Applicant.

9. PROOF OF PRACTICAL EXPERIENCE AS AN AGENT AND/OR TRUSTEE

Attach hereto as Attachment "9" evidence in writing that the applicant himself or some person or company directly or indirectly connected with the applicant is possessed of solid and practical experience as an agent and/or trustee. Such evidence may include a curriculum vitae, letters of past employment, or other pertinent materials.

10. CHARACTER REFERENCES

Attach hereto to as Attachment "10" written references, such as but not limited to police certificates, demonstrating that neither the Applicant nor, in the case of a company, any director or officer of the Applicant has a criminal record either in the State or elsewhere.

11. EVIDENCE OF PAID-UP CAPITAL

- (a) Please attach hereto to form part of *Attachment "11 (a)"* an undertaking in writing to provide and set apart paid-up capital before or at the time it commences business, such as the Authority may in its absolute discretion determined, or by a guarantee under seal of such sum given by a holding or parent or other company approved by the Authority; and
- (b) Please attach hereto to form part of *Attachment "11 (b)"*. The guarantee referred to in subparagraph (a) shall expressly provide that its formal validity, its essential validity, its interpretation ad effect and the rights and obligation of the parties to it are governed exclusively by the law of the State and that the court of the State shall be the exclusive forum and venue for these purposes.

12. PERSONAL DUE DILIGENCE QUESTIONNAIRE

Please *Attach hereto as Attachment "12"* - (if company, insert as many attachments as necessary for each director shareholder, and officer) respectively, a duly completed personal questionnaires providing information necessary for due diligence reporting on background of each shareholder, director and senior management of Applicant

13. ANNUAL FINANCIAL STATEMENTS OF APPLICANT'S HOLDING COMPANY

- (a) *Attach hereto as Attachment "13"* the Applicant's annual accounts or the annual accounts of Applicant's holding company, if any, for the preceding three (3) years.

14. CERTIFIED END OF MONTH STATEMENT OF ASSETS AND LIABILITIES

Attach hereto as Attachment "14" a statement of the Applicant's assets and liabilities at the end of the month prior to the submission of the Application certified by a director or senior officer of the Applicant.

15. EVIDENCE OF NETWORTH

Attach hereto as Attachment "15" evidence that the net worth of the Applicant exceeds \$75,000.

16. NAMES OF SUBSIDIARY COMPANIES OF APPLICANT

Attach hereto as Attachment "16" a writing which sets forth the names of all subsidiary companies of the Applicant with addresses of their registered offices and names of their registered agents, and a statement of capital of any other company held, directly or through a subsidiary, as an asset of the Applicant.

17. BANK REFERENCES

Attach hereto as Attachment "17" at least three (3) references, including one from an internationally recognised bank or trust company.

18. ASPECTS OF INTERNATIONAL REPRESENTATION

Attach hereto as Attachment "18" a statement describing the aspects of International Representation the Applicant will seek to undertake and the experience of the Applicant or its directors or employees in such business.

19. OTHER BUSINESS/LICENCES

Where the Applicant holds, or intends to hold, one or more other licences or authorisations to conduct business or professions other than the business of International Representation, *Attach hereto as Attachment "19"* a writing describing such other licences, businesses or professions.

20. FINANCIAL FIDUCIARY

- (a) Where the applicant intends to act as a financial fiduciary in connection with his business of international representation, please *Attach hereto as Attachment "20 (a)"* a detailed statement of the nature of such activities.
- (b) Please *Attach hereto as Attachment "20 (b)"* completed answers to Schedule "A" - additional disclosures for Financial Fiduciaries.
- (c) Please *Attach hereto as Attachment "20 (c)"* proof of the applicant's experience as a financial fiduciary.

PLEASE NOTE THE AUTHORITY HAS THE RIGHT TO SEEK ADDITIONAL INFORMATION WHERE IT DEEMS NECESSARY.

The undersigned hereby confirms that it is authorised to execute this Application on behalf of the Applicant, and that the information contained in this Application is true and accurate as of the date shown below.

This _____ day of _____, 20_____

Applicant

By: _____

Its: _____