

FINANCIAL SERVICES COMMISSION

SECURITIES ACT, CAP. 318A AND ITS REGULATIONS

MUTUAL FUNDS ACT, CAP. 320B AND ITS REGULATIONS

CHECKLIST – FIT AND PROPER / DUE DILIGENCE REQUIREMENTS

**Instructions for using the checklist**

1. This checklist must be used when due diligence information is being provided for new directors, senior officers, or beneficial owners.
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. Persons who may certify documents include; a Justice of the Peace, Attorney-at-law, or a Notary Public.
3. All documents that are not in English must be accompanied by a certified English translation.
4. "N/A" should be used where a document outlined below is not applicable.

State full name of the company: \_\_\_\_\_

State full name of the person  
to whom the submission relates: \_\_\_\_\_

DUE DILIGENCE REQUIREMENTS<sup>1</sup>

The following have been submitted for each of the relevant persons:

<input type="checkbox"/>	Completed Fit and Proper Questionnaire
<input type="checkbox"/>	Curriculum Vita /Resume
<input type="checkbox"/>	Police Certificate of Character ( <i>In the absence of same, some confirmation <u>in writing</u> such as an affidavit, that the relevant person has no criminal record or has not been convicted of a serious crime or any offence involving dishonesty or is not subject of a current criminal hearing or proceeding must be sent</i> )
<input type="checkbox"/>	Notarized/certified copy of the signature and photo pages of a valid passport
<input type="checkbox"/>	Proof of address: copy of utility bill/ bank statement/ credit card statement dated within the last 3 months

<sup>1</sup> The following must be completed and submitted for each director; senior officer and beneficial owner of the applicant.