

**REGISTRATION FORM FOR FINANCIAL INSTITUTIONS SUPERVISED BY THE
COMPLIANCE COMMISSION**

FINANCIAL TRANSACTIONS REPORTING ACT, 2018 (section 33)

Name of Firm/Business.....

Date Firm/Business Established

Street Address

Postal Address E-mail Address

Telephone No. Fax No.

Category of Financial Institution
(Reference page 3)

Name of Money Laundering Reporting Officer (MLRO)

Name of Compliance Officer (CO)

Contact Person Position

Affiliated Professional Body

Name of Beneficial Owner(s)

N.B. For the purpose of Beneficial Owner S.2 of the FTRA, stipulates “(a) a natural person who ultimately owns or controls a facility holder; (b) the natural person on whose behalf a transaction is being conducted; (c) a natural person who exercises ultimate effective control over a legal person or legal arrangement and (d) where no natural person is identified under subparagraphs (a), (b) or (c) the identity of the natural person who holds the position of senior managing official”.

Names of Directors:

- 1) 6)
- 2) 7)
- 3) 8)
- 4) 9)
- 5) 10)

Names of Partners:

- 1) 6)
- 2) 7)
- 3) 8)
- 4) 9)
- 5) 10)

If registering as a group entity, please name each individual financial institution within the group. Please attach a list of others if the space below is inadequate.

- 1) 6)
- 2) 7)
- 3) 8)
- 4) 9)
- 5) 10)

Name Signature

Date

N. B. In any case where the preceding activities form an integral part of the business services or products offered by a financial institution which is regulated by the Central Bank, the Securities Commission, the Registrar of Insurance or the Gaming Board, then for the purposes of the Financial Transactions Reporting Act, such institution is subject to the supervisory control of the regulator that has responsibility for its licensing.

Submit form to: E-mail: compliance@bahamas.gov.bs

Financial Institutions Supervised by the Commission

THE COMPLIANCE COMMISSION HAS BEEN DESIGNATED AS THE ANTI-MONEY LAUNDERING SUPERVISORY AUTHORITY UNDER PART III OF THE FINANCIAL TRANSACTIONS REPORTING ACT, 2018 FOR THE FINANCIAL INSTITUTIONS LISTED BELOW.

1. Friendly Society enrolled under the Friendly Societies Act, Chapter 313;
2. Real Estate Agents and Brokers, when they are involved as real estate broker in financial transactions for their client concerning the buying or selling of real estate, and with respect to both the vendors and purchasers.
3. Land developer engaged in the sale or partition or condominiumizing of any part, parcel, lot or condominium unit of any larger tract or lot of land or any development of land involving the building of units sharing walls, common areas and utilities.
4. A person whose business or any part of whose business consists of –
 - (i) buying for the purpose of trade, sale, exchange, or otherwise dealing in any previously owned precious metals or precious stones, whether altering the same after acquisition or not: or
 - (ii) lending of cash on the security of previously owned precious metals or precious stones of which the person take possession, but not ownership, in expectation of profit, gain or reward.
5. Trustees, administration managers or investment managers of a superannuation scheme.
6. Any person in the business of borrowing or lending or investing money;
7. Any person in the business of administering or managing funds on behalf of other persons;
8. Any person in the business of acting as trustee in respect of funds of other persons;
9. Any person in the business of providing financial services that involves the transfer or exchange of funds, including (without limitation) services relating to financial leasing, money transmissions, credit cards, debit cards, treasury certificates, bankers draft and other means of payment, financial guarantees, safekeeping of cash and liquid securities, and money changing; [this EXCLUDES the provision of financial services that consist solely of the provision of financial advice and security guard services within the meaning of the Inquiry Agents and Security Guards Act].
10. A counsel and attorney or accountant when they engage in, or carry out transactions for a client concerning-
 - (i) the buying and selling of real estate; (ii) a deposit or investment of cash; (iii) the management of client funds or securities; (iv) the management of bank, savings or securities accounts; (v) the organization of contributions for the creation, operation or management of a legal person; (vi) the creation, incorporation, operation or management of a legal person or legal arrangement, and buying and selling of a business entity; (vii) the provision of a registered office or acting as a registered agent; (viii) the acting as or arranging for another person to act as, a nominee shareholder for another person.
11. An accountant, but only to the extent that the accountant receives cash in the course of that person's business for the purposes of deposit or investment otherwise than as part of services rendered pursuant to a financial and corporate service provider's licence.

THE ABOVE MENTIONED FINANCIAL INSTITUTIONS ARE REQUIRED TO REGISTER WITH THE COMMISSION