

**FINANCIAL SERVICES COMMISSION  
CHECKLIST FOR REGISTRATION  
ASSOCIATION OF UNDERWRITERS**

*Below is a list of documents required for registration with the Financial Services Commission. For the registration process to begin, all documents must be received at the same time. Unless marked "as applicable", each item on this list MUST be included with the registration application. Documents received will be returned if ALL the required documents are not included and properly certified.*

Document	Relevant Section of Application Form	Insurance Regulations, 2001 Reference	Included (Please <input checked="" type="checkbox"/> )
Application Form		106(1)	
Copy of receipt for payment of registration fees	37(f)		
Certified copies of Articles & Memorandum of Association or other instruments of incorporation		106(1)(j)(i)	
Certificate of incorporation			
Latest actuarial report regarding long term business	37(e)		
Certified copies of deeds or agreements constituting the Association	37(a)		
Evidence of minimum deposit		108	
Certificate signed by regulatory authority		106(1)(j)(ii)	
Certified copies of latest audited: <ul style="list-style-type: none"> <li>• Balance sheet</li> <li>• Profit and loss statement</li> <li>• Revenue accounts</li> <li>• Financial statements</li> </ul> For the last three years	37(b)		
Certified copy of latest annual report	37(c)		
Certificate of satisfactory capital and solvency	37(g)		
Specimen of all policies issuable	37(d)		

<b>Document</b>	<b>Relevant Section of Application Form</b>	<b>Insurance Regulations, 2001 Reference</b>	<b>Included (Please <input checked="" type="checkbox"/>)</b>
Business plan		106(1)(i)	
Principal representative		106(1)(j)(iii)	
Approved coverholders			
List of syndicates			
Proposed/existing reinsurance agreements			
Fit and proper questionnaire for all directors, senior managers, members of the syndicate and shareholders of 10% or more OR copy of request for certification from regulator in country of domicile		106(1)(g)	
Resumes for persons listed above	37(h)	106(1)(j)(iv)	
Certified academic certificates and diplomas for directors, senior managers and shareholder of 10% and above			
Character references for directors, senior managers and shareholders - 10% or more			
Power of Attorney (If applicable)			
Company organizational chart			
Corporate organizational chart showing related entities (If applicable)			
List of shareholders and directors of parent or ultimate holding company if different (If applicable)			

### Certifications

Documents can be certified by the following individuals:

- Application Testimonial: Justice of the Peace, Minister of Religion, Notary Public, Attorney at Law, Police Officer – Assistant Superintendent and higher
- Photographs: Justice of the Peace, Minister of Religion, Notary Public, Attorney at Law, Police Officer – Superintendent and higher

- Fit and Proper Questionnaire: Justice of the Peace, Attorney at Law
- Character References: Minister of Religion, Attorney at Law, Police Officer – Superintendent and higher
- Academic Records: Principal Officer, Company Secretary, Branch Manager
- Articles and Memorandum of Association: Registrar of Companies

Please note that the person who gives the testimonial on the application, cannot also give a character reference.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date Submitted: \_\_\_\_\_

FSC USE

Received by: \_\_\_\_\_

All applicable documents included: Yes \_\_\_  
No \_\_\_

Date Received: \_\_\_\_\_