



FORM 3

Application Number: (For official use only)

THE PENSIONS (SUPERANNUATION FUNDS AND RETIREMENT SCHEMES) ACT, 2004

The Pensions (Superannuation Funds and Retirement Schemes) (Registration, Licensing and Reporting) Regulations, 2006

APPLICATION FOR REGISTRATION OF TRUSTEES (INDIVIDUALS)

NOTES

- Please complete in type or block capitals. All signatures must be originals.
- **The prescribed application fee must be submitted with this form.**
- All applicable questions must be answered. If necessary, you may continue to record your answers on separate sheets of paper. Any additional paper used must be attached to this form and be clearly marked with the number of the relevant question.
- The following are acceptable proof of identification:
 - Valid Drivers licence;
 - Valid National ID; or
 - Valid Passport.
- **The applicant must sign this form in the presence of a Justice of the Peace, Attorney-at-Law, Minister of Religion, or Superintendent of Police or any rank above, who in turn must sign and stamp the document.**
- **If the answer to question 21 is yes, you must complete FORM 4.**
- **If the answer to any of questions 22 through 30 is yes, please supply details (include dates, name of court and jurisdiction where applicable) and affix it to this application form.**
- **If you are applying to be registered as a member or pensioner trustee you must attach evidence of your nomination and election.**
- When completing this application form, please make reference to the attached document checklist (page iii) or call us if further information is needed.
- The FSC has the right to examine other areas not included in this application and to request additional information and documents from the individuals and organizations referred to herein.

Persons and entities previously registered or licensed by the FSC

Individual Trustees

If an Individual is currently registered as a Trustee under the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 (“the Act”) or is awaiting approval of his/her application by the Financial Services Commission (“FSC”) and following nomination as a Trustee of another fund or scheme, wishes to apply to be registered, he/she may request that the FSC uses his/her previous full application for the purposes of the new application. To do so, the applicant should send a letter to the FSC;

- Making the request;
- Stating the name of the new fund or scheme and the FSC registration number (if already registered);
- Stating the name(s) and FSC registration number(s) of previous fund(s) or scheme(s);
- Stating the date of submission of the previous application;
- Certifying that the **information submitted in his/her previous application (within the past three (3) years)** is still valid and applicable to this new application and that there are no new details to be disclosed or provided.

In this letter, the applicant may also request that the Police Report and Fit and Proper Questionnaire previously submitted within the past three (3) years, be used by the FSC for the new application.

Trustees Previously Assessed for Fitness and Propriety

If an Individual Trustee has been assessed and deemed fit and proper in another occupational capacity under the Securities or Insurance Act within the last 3 years, the Trustee in pursuance of registration under the Act, should make a request to the FSC for the utilization of the Police Report and Fit and Proper Questionnaire previously submitted on his/her behalf within the past three (3) years for the purpose of fit and proper assessment.

The applicant should attach a cover letter to his/her application:

- Making the request;
- Stating the FSC licence/registration number and the nature of the licence or registration and;
- Giving the date of submission of the Police Report and the Fit and Proper Questionnaire

Please note that if the lifespan of the previous documents submitted for fit and proper assessment of the relevant Individual Trustee exceeds three (3) years, then new documents will be required from the individual upon submission of an application for registration of Trustees (Individuals) under the Act.

The applicant is required to submit all other documents and meet all other requirements pursuant to the registration being sought.

Document Checklist – Individual Trustees

	Yes	No
1. Completed Application for Registration of Trustees (Individuals)	[]	[]
2. Form 4, if applicable	[]	[]
3. Details relating to questions 22 through 30 of the application, if applicable	[]	[]
4. Letter of intent to appoint to the Board of Trustees of a Superannuation Fund or Retirement Scheme (Letter naming Trustees to be registered by the FSC)	[]	[]
5. Evidence of nomination and election as a member nominated or pensioner trustee	[]	[]
6. Photocopy of valid drivers licence, national ID card or the first four pages of a valid passport, certified by a Justice of the Peace, Notary Public, Attorney-at- Law.	[]	[]
7. Completed Fit and Proper Questionnaire (Individual Pension Trustees)	[]	[]
8. Police Report	[]	[]
9. Application fee	[]	[]

.....
Name

.....
Signature