



FORM 5

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 RESPONSIBLE OFFICER

NOTES

- This Form and all attachments added thereto must be in type or block capitals. All signatures must be originals.
- All questions must be answered. Failure to do so may cause delays in the processing of the Application.
- If space provided for answers is insufficient, then furnish required information on an attachment.
- All documents pertaining to any question must be attached to the Form and clearly marked with the number of the relevant question.
- The Applicant and the Justice of the Peace or Notary Public before whom the Application is sworn, are each required to initial all attachments.
- 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.

APPLICATION FOR REGISTRATION OF RESPONSIBLE OFFICER

Persons and entities previously registered or licensed by the FSC

Responsible Officer

If a Company is currently licensed under the Pensions (Superannuation Funds and Retirement Schemes) Act, 2004 (“the Act”) as an Administrator or an Investment Manager or registered as a Corporate Trustee and wishes to be licensed or registered in another capacity and the designated responsible officer is the same person registered under the previous application, it may request that his/her previous application be used in relation to the new application.

In making the request the Company should attach a cover letter to its Application:

- Making the request;
- Stating the registration number communicated by the Financial Services Commission (“FSC”), if already registered;
- Certifying that the information contained in the responsible officer’s previous application is still valid and applicable to the new application and there are no new details to be disclosed or provided.

Responsible Officer Previously Assessed for Fitness and Propriety

If the responsible officer related to the new application has been assessed and deemed fit and proper under the Securities or Insurance Act within the last 3 years, the Company in pursuance of registration or licensing under the Act, should make a request to the FSC for the utilization of the following documents previously submitted within the last three (3) years for the purpose of fit and proper assessment;

- **Police Report;**
- **Certified copies of Academic Certificates;**
- **References;**
- **Letter from current or former employer confirming years of service in pension administration, investment management or related industry;**
- **Resume;**
- **Confidential Report soliciting employment history for the last five (5) years.**

The cover letter should have similar signatures as those affixed to the application form and should be dated and sealed.

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

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

**APPLICATION FOR REGISTRATION OF
RESPONSIBLE OFFICER**

Document Checklist – Responsible Officer

	Yes	No
1. Completed Application for Registration of Responsible Officer	[]	[]
2. 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	[]	[]
3. Two (2) recent colour passport-size certified photographs	[]	[]
4. Certified copies of educational certificates	[]	[]
5. Original references from three (3) individuals	[]	[]
6. Letter from current or former employer confirming years of service in pension administration, investment management or related industry	[]	[]
7. Completed Fit and Proper Questionnaire	[]	[]
8. Resume	[]	[]
9. Police report	[]	[]
10. Application Fee	[]	[]

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Name

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Signature