



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

Application Number: (For official use only)

1. APPLICANT

Surname First Middle Maiden

Home Address

Telephone No. TRN

Present position with Employer

Commenced employment on Day Month Year

2. EMPLOYER

Name Telephone No.

Address of office where Responsible Officer will be working.

3. PERSONAL DESCRIPTION OF RESPONSIBLE OFFICER

A. Date of Birth Sex

Place of Birth

Height Weight Colour of eyes Colour of hair

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.....  
Citizenship

If not a Jamaican citizen answer  
Question B below

Name of Spouse: .....

Surname	First	Middle	Maiden
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Nature of spouse's employment in Jamaica .....

.....

Name of Spouse's Employer: .....

B. Are you a permanent resident of Jamaica?

YES (    )    NO (    )

C. For how long have you been resident in Jamaica?

.....

D. Change of name  
List name changes resulting from marriage, divorce, court order or any other process, giving appropriate dates.

Previous name	Date changed	Reason
.....	.....	.....
.....	.....	.....
.....	.....	.....

Have you ever carried on business under any name other than the name mentioned in Question 1 of this Form?

YES (    )    NO (    )

If YES, give details

.....

.....

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E. Passport Information

In providing the information requested below, the Responsible Officer must also attach a copy of his passport certified by a Justice of the Peace or Notary Public.

.....  
 Country      Place of issue      Date of issue      Number

F. Photograph

Attach hereto two copies of a colour passport-size photograph, full face, showing a true likeness of the Responsible Officer as the Responsible Officer now appears and taken within the last six months. The photographs must measure 2" x 2", and bear on the back the date on which they were taken and be certified by a Justice of the Peace or Notary Public.

4. EDUCATION

List below name of institutions attended and qualifications attained

School/Institution	Year attended	Qualifications
.....	.....	.....
.....	.....	.....
.....	.....	.....
.....	.....	.....

Attach original document or other certified document evidencing qualification.



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C. SELF-EMPLOYMENT

Give details if any

.....  
.....

D. Have you ever been discharged by any employer for dishonesty, negligence or incompetence?

YES ( ) NO ( )

If YES, explain .....

.....

6. RESIDENTIAL HISTORY

Give all home addresses for the past 5 years; include street, postal code and parish.

Current

.....20 .....to 20 .....  
Street                  Postal Code                  Parish

Previous

.....20 .....to 20 .....  
Street                  Postal Code                  Parish

7. REFERENCES

A. On an attachment provide three (3) names as references, excluding relatives and persons working with the Responsible Officer's employer. Include business address with postal code, telephone number and occupation.

B. Banks or other Financial institutions.

.....  
Name of bank(s)/financial institution(s)

.....  
Address(es)

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**8. PRIOR REGISTRATION OF RESPONSIBLE OFFICER**

A. Are you now licensed or registered in any capacity under any law of Jamaica or any other country regulating pension administration, investment management or trusteeship.

YES ( ) NO ( )

If YES, give details... ..

B. Have you been previously licensed or registered as mentioned in paragraph A?

YES ( ) NO ( )

If YES, give details and dates ... ..

C. Are you now a shareholder, director or officer of any company or a partner in partnership which is now licensed under any law regulating pension administration, investment management or trusteeship.

YES ( ) NO ( )

If YES, which company?... ..

D. Are you now a shareholder, director or officer of any company or a partner in a partnership which has been previously licensed under any law regulating pension administration, investment management or trusteeship.

YES ( ) NO ( )

If Yes, which company and when?

.....

E. Have you ever been a shareholder, director or officer of any company or a partner in a partnership licensed as mentioned in C or D above?

YES ( ) NO ( )

If YES, which company and when?

.....

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9. A. Are you registered under any law which requires registration to deal with the public in any capacity other than pension administration, investment management or trusteeship.

YES ( ) NO ( )

If YES, which company and when?

.....

- B. Have you ever applied for or obtained registration mentioned in paragraph A above?

YES ( ) NO ( )

If YES, when and in which country and under what law?

.....

**QUESTIONS 10 – 15**

In answering Questions 10-15 you may need assistance from a legal adviser. Full details are required as attachments in respect of any question to which the Responsible Officer answers "YES". These details must include the circumstances, relevant dates, names of the parties involved and final determination if known. Also disclose any convictions under all laws, excluding convictions under the Road Traffic Act, and any conviction in respect of which an absolute or conditional discharge has been granted. If a conviction has been expunged from the records pursuant to the Criminal Records (Rehabilitation of Offenders) Act, the appropriate response would be "NO".

**10. REFUSAL, SUSPENSION OR CANCELLATION**

- A. Have you ever been refused registration or has your registration been suspended or cancelled under any law regulating pension administration, investment management or trusteeship?

YES ( ) NO ( )

If YES, state in which country, under what law, and when.

.....

.....

.....

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B. Are you now or have you ever been an officer or director of a company or a partner in a partnership –

- (i) which has been refused registration during the time of your association with it; or
- (ii) whose registration has been suspended or cancelled under any law regulating pension administration, investment management or trusteeship?

YES (    )    NO (    )

If YES, give details... ..

.....



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11. OFFENCES

A. Have you pleaded or been found guilty under any law of Jamaica or any other country of any offence involving dishonesty or impropriety relating to pension administration, investment management or trusteeship or options or the theft thereof or been a party in any proceedings taken on account of fraud arising out of any trade in or advice in respect thereof?

YES ( ) NO ( )

.....

B. Have you ever been convicted of any criminal offence not mentioned in paragraph A?

YES ( ) NO ( )

.....

C. Are you currently the subject of a charge or indictment under any law of Jamaica or any other country for contravention of any other law or for any conduct of the type described in paragraphs A and B?

.....

D. Has a company of which you are or were at the time of the event an officer, director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities or any partnership of which you are or were at the time of the offence a partner, ever pleaded guilty or been found guilty under any law in Jamaica or any other country of offences or conduct of the type described in paragraphs A and B?

YES ( ) NO ( )

.....

E. Is any such company or partnership mentioned in paragraph D currently the subject of a charge or indictment?

YES ( ) NO ( )

.....

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12. CIVIL PROCEEDINGS

A. Has any claim been successfully made in any civil matter before a court or other tribunal in Jamaica or any other country which was based in whole or part on fraud, theft, deceit or misrepresentation or similar conduct against –

(i) you

YES ( ) NO ( )

.....

(ii) any company of which you are or were at the time of the event or at the time that such proceedings were commenced an officer, a director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities?

YES ( ) NO ( )

.....

(iii) any partnership of which you were a partner at the time of the event or at the time such proceedings were commenced?

YES ( ) NO ( )

.....

B. To the best of your knowledge is any such claim pending against you or such company or partnership?

YES ( ) NO ( )

.....

13. BANKRUPTCY

A. Have you or any company of which you are or were at the time of the event an officer, a director or holder of voting securities carrying more than a 5% of the votes carried by all outstanding voting securities; or

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B. Have you or any partnership of which you are a partner under the laws of Jamaica or any other country -

(i) ever been declared bankrupt or made a voluntary assignment in bankruptcy?

YES ( ) NO ( )

.....

(ii) ever made a proposal relating to bankruptcy or insolvency?

YES ( ) NO ( )

.....

(iii) ever been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver or manager, or both, appointed to hold your assets or the assets of the company or partnership?

YES ( ) NO ( )

.....

14. JUDGMENT OR ATTACHMENT

A. Has any judgment or attachment ever been rendered against you in any civil court in Jamaica or any other country in respect of damages or other relief for fraud or for any other reason?

YES ( ) NO ( )

.....

B. Is any judgment or attachment outstanding against you in any civil court in Jamaica or any other country for damages or other relief in respect of fraud for any reason whatsoever?

YES ( ) NO ( )

.....

15. SURETY BOND OR FIDELITY BOND

A. Have you ever applied for a surety bond or fidelity bond and been refused?

YES ( ) NO ( )

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If YES, give particulars

.....

B. Are you presently bonded?

YES ( ) NO ( )

If YES, with whom and for how much?

.....

16. BUSINESS ACTIVITIES

A. Will you be actively engaged in the business of the Trustee, Administrator or Investment Manager and devote the major portion of your time thereto?

YES ( ) NO ( )

If NO, give details

.....

B. Are you engaged in any other business or have any other employment for gain except your occupation with the Trustee, Administrator or Investment Manager?

YES ( ) NO ( )

If YES, set out full details on an attachment including the name and address of the business, the nature of the business, your title or position and the amount of time you devote to the business.

C. Are you an officer, director, shareholder, partner or other contributor of capital or employee of a company having as its principal business that of a Trustee, Administrator or Investment Manager other than the firm with which you are now working?

YES ( ) NO ( )

If YES, give details

.....



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**FOR OFFICIAL USE ONLY**

- 1) Registered Period .....
- 2) Date Application received .....
- 3) Number of Attachments .....
- 4) Identification Verification .....
- 5) Application Fee paid \$.....
- 6) Submitted to Commission on .....
- 7) Date Approved/Rejected .....
- 8) Terms and Conditions of Registration
  - (i).....
  - (ii).....
  - (iii).....
  - (iv) .....
- 9) Registration Fee \$.....
  - Date Paid.....
- 10) Certifying Officer.....
  - Chairman/Executive Director
- 11) Suspension or Cancellations.....
  - Action Taken.....
  - Effective Date.....
  - Reasons.....
  - .....
  - .....