

# COMPLIANCE OFFICER FIT & PROPER QUESTIONNAIRE

Financial Intelligence Unit of Trinidad and Tobago  
 Level 25 Tower D,  
 International Waterfront Complex  
 1A Wrightson Road, POS  
 Email: [fiutt@gov.tt](mailto:fiutt@gov.tt) Tel: 625-8351

<b>PART I – TO BE COMPLETED BY DIRECTOR/SENIOR MANAGEMENT (COMPLETE ALL FIELDS IN BLOCK LETTERS).</b>				
1. Name of Legal Entity/Individual registered with the FIU:	2. FIU Registration#:			
3. Nature of Business:				
4. Indicate Designated Officer ( <i>Select one only</i> ): COMPLIANCE OFFICER <input type="checkbox"/> ALTERNATE COMPLIANCE OFFICER <input type="checkbox"/>				
5. Designated by ( <i>Where the designated Officer is not the owner</i> ):  Name (Block letters): _____      Designation: _____      Signature: _____				
<b>PART II – PERSONAL DATA OF DESIGNATED OFFICER (COMPLETE ALL FIELDS IN BLOCK LETTERS).</b>				
1. First Name:	2. Middle Name:	3. Surname:	FOR FIU OFFICIAL USE ONLY	
4. Country of birth:	5. Number and Type of Valid Government Issued Picture Identification ( <i>DP, PP, ID, SS etc.</i> ) [ <i>Attach copy of ID</i> ]			
6. Citizenship:	8. Email:			
7. Date of birth:	9. Residential Address:			
10. Telephone: Work: _____ Mobile: _____ Home: _____	11. Level of education: <i>Secondary, degree, tertiary, doctorate etc.</i>			
12. Mailing Address (If different from above):	13. Professional qualification and membership: <i>E.g. CAMS, FIBA, ACPPT, BSc (Eng.) BA, BSc (Mgmt.) etc.</i>			
14. Have you ever had a change of name? ( <i>If yes, please give details</i> ):				
15. Position held with entity ( <i>Attach job description or organization chart</i> ):				
<b>PART III – DECLARATION (ANSWER ALL QUESTIONS) [Where the response is Yes, you MUST give particulars on a separate page]</b>				
1. Have you ever been charged in Trinidad and Tobago, or elsewhere, for any offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
2. Have you ever been convicted in Trinidad and Tobago, or elsewhere, for any offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
3. Have you ever been a principal officer of an entity that was, during your period of association, charged or convicted of an offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
4. Have you at any time, in Trinidad and Tobago or anywhere else been declared bankrupt or are you the subject of any bankruptcy proceedings?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
5. Have you at any time failed to satisfy a judgment debt under a Court Order made in Trinidad and Tobago or anywhere else?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
6. Have you ever been disqualified or restricted in Trinidad and Tobago or elsewhere by a court from acting as a director of a company?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
7. Have you ever been refused entry to any profession?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
8. Have you ever been dismissed or compelled to resign from any office or employment?	YES <input type="checkbox"/>	NO <input type="checkbox"/>		
9. Have you ever received any AML/CFT or compliance training? <i>If yes, provide details and attach evidence of training obtained.</i>	YES <input type="checkbox"/>	NO <input type="checkbox"/>		

I CERTIFY THAT THE INFORMATION PROVIDED ABOVE IS TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.

DATE \_\_\_\_\_

PRINT NAME \_\_\_\_\_

SIGNATURE \_\_\_\_\_

*\*NB.: Details can be provided on an additional sheet.*

**Abbreviations:** **DP:** Drivers Permit, **PP:** Passport, **SS:** Social Security number, **CAMS:** Certified Anti-Money Laundering Specialist, **FIBA:** Florida International Bankers Association, **ACPTT:** Association of Compliance Professionals of Trinidad & Tobago