

# COMPLIANCE OFFICER FIT & PROPER QUESTIONNAIRE

Financial Intelligence Unit of Trinidad and Tobago  
Level 25 Tower D,  
International Waterfront Complex  
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PART I – TO BE COMPLETED BY DIRECTOR/SENIOR MANAGEMENT (COMPLETE ALL FIELDS IN BLOCK LETTERS).			
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:	
PART II – PERSONAL DATA OF DESIGNATED OFFICER ( COMPLETE ALL FIELDS IN BLOCK LETTERS ).			
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:			
7. Date of birth:	8. Email:		
9. Residential Address:	10. Telephone: <b>Work:</b> <span style="margin-left: 100px;"><b>Mobile:</b></span> <b>Home:</b>		
	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> ):			
PART III – DECLARATION (ANSWER ALL QUESTIONS) [ <i>Where the response is Yes, you MUST give particulars on a separate page</i> ]			
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.

<b>DATE</b>	<b>PRINT NAME</b>	<b>SIGNATURE</b>
<p><i>*NB.: Details can be provided on an additional sheet.</i></p> <p><b>Abbreviations:</b> <i>DP:</i> Drivers Permit, <i>PP:</i> Passport, <i>SS:</i> Social Security number, <i>CAMS:</i> Certified Anti-Money Laundering Specialist, <i>FIBA:</i> Florida International Bankers Association, <i>ACPTT:</i> Association of Compliance Professionals of Trinidad &amp; Tobago</p>		