

**REGISTRATION FORM FOR FINANCIAL INSTITUTIONS SUPERVISED BY
THE COMPLIANCE COMMISSION**

FINANCIAL TRANSACTIONS REPORTING ACT, 368 (SECTION 46)

Name of Individual/Business

Street Address

Postal Address E-mail Address

Telephone No. Fax No.

Category of Financial Institution
(refer to list overleaf)

Contact Person Position

Affiliated Professional Body

If registering as a group entity, please name each individual financial institution in a firm, company, partnership or other group association e.g. all lawyers in a firm. Please attach a list of other financial institutions if the space below is inadequate.

1) 6)

2) 7)

3) 8)

4) 9)

5) 10)

Name Signature

Date

N. B. In any case where the preceding activities form an integral part of the business services or products offered by a financial institution which is regulated by the Central Bank, the Securities Commission, the Registrar of Insurance or the Gaming Board, then for the purposes of the Financial Transactions Reporting Act, such institution is subject to the supervisory control of the regulator that has responsibility for its licensing.

Return form to:

The Compliance Commission
2nd Floor Charlotte House
Charlotte and Shirley Streets
P.O. Box N-3017
Nassau, Bahamas
Ph.: (242) 397-4198, Fax: (242) 322-6968
E-mail: compliance@bahamas.gov.bs

Financial Institutions Supervised by the Commission

THE COMPLIANCE COMMISSION HAS BEEN DESIGNATED AS THE ANTI-MONEY LAUNDERING SUPERVISORY AUTHORITY UNDER PART VI OF THE FINANCIAL TRANSACTIONS REPORTING ACT, 368 FOR THE FINANCIAL INSTITUTIONS LISTED BELOW.

1. Co-operative Societies registered under the [Co-operative Societies Act, Chapter 284](#);
2. Friendly Societies enrolled under the [Friendly Societies Act, Chapter 283](#);
3. A real estate broker, but only to the extent that he receives funds in the course of his business to settle a real estate transaction i.e. any matter involving work that can only be done by or under the supervision of a lawyer pursuant to section 22 of the Legal Profession Act, 1992; or by a current license holder under the Real Estate (Brokers and Salesmen) Act, 1995;
4. Trustees, administration managers or investment managers of a superannuation scheme within the meaning of the Superannuation and other Trust Funds (Validation) Act; [EXCLUDES employee occupational retirement plans to which employee contributions are made entirely by salary deductions and the trust deed (or, as the case requires, the statute under which the scheme is constituted) prohibits a member from assigning his or her interest in the scheme to any other person; or any superannuation scheme in respect of which there has been no advertisement inviting the public or any section of the public to become contributors to the scheme];
5. Any person in the business of borrowing or lending or investing money;
6. Any person in the business of administering or managing funds on behalf of other persons;
7. Any person in the business of acting as trustee in respect of funds of other persons;
8. A counsel and attorney, where he receives funds in the course of his business to deposit or invest, settle real estate transactions, or hold in a client's account;
9. An accountant, where he receives funds in the course of his business to deposit or invest.
10. Any person in the business of providing financial services that involves the transfer or exchange of funds, including (without limitation) services relating to financial leasing, money transmissions, credit cards, debit cards, treasury certificates, bankers draft and other means of payment, financial guarantees, safekeeping of cash and liquid securities, and money changing; [this EXCLUDES the provision of financial services that consist solely of the provision of financial advice and security guard services within the meaning of the Inquiry Agents and Security Guards Act].

THESE FINANCIAL INSTITUTIONS ARE REQUESTED TO REGISTER WITH THE COMMISSION BY COMPLETING AND RETURNING THE FIRST PAGE OF THIS REGISTRATION FORM.