



Antigua and Barbuda Financial Services Regulatory Commission

The Money Services Business Act, 2011 [Section 15]

SCHEDULE J: NOTICE OF APPOINTMENT OF DIRECTOR OR SENIOR OFFICER OF THE MONEY SERVICES BUSINESS

Please forward completed form with any supporting information to:

The Director
Financial Services Regulatory Commission

P.O. Box 2674
Royal Palms Place
Friars Hill Road
St. John's, Antigua

Tel: (268) 481-1175 • **Fax:** (268) 463-0422

Email: MSBandGamingSupport@fsrc.gov.ag

Email: cheryl.george@fsrc.gov.ag

Website: <http://www.fsrc.gov.ag>

SECTION I: INSTRUCTIONS FOR COMPLETING THIS SCHEDULE

1. This schedule must be submitted with all supporting documentation listed at the end of the form and can be downloaded from the Commission's website in Adobe Acrobat format, and completed online. Alternatively, the form may be printed and completed with the use of a typewriter, or **black ink** and **BLOCK CAPITALS** or typescript.
2. Any information provided on additional sheets must be signed and dated.
3. Where there is a question which is not applicable, please write "N/A" beside the question.
4. Place a tick (**v**) mark in the appropriate box.
5. All dates must be completed in the form: Day/Month/Year.

SECTION II: USE OF SCHEDULE

In accordance with Section 15(2) of the Money Services Business Act, 2011 (hereafter "the Act") a licensee desirous of appointing a director or other senior officer **MUST**, no less than thirty (30) days before the proposed date of appointment of such director or other senior officer submit this notice and a Schedule B, to the Commission along with the relevant supporting documents.

Additionally, and pursuant to Section 15(6) of the Act, where a licensee appoints a director or senior officer without giving the Commission at least thirty (30) days prior notice, the licensee **MUST** submit, within five (5) days of such appointment, a **LETTER** specifying the reasons for the appointment of the proposed appointee without prior approval from the Commission.

A licensee who contravenes the above commits an offence and is liable on summary conviction to a fine of one hundred thousand dollars (\$100,000) or to imprisonment for a term of two (2) years or both.

1. We hereby submit a notice of appointment of for approval by the Commission.

Directors

Senior Officers

2. Date of Notice:

SECTION III: PARTICULARS OF THE LICENSEE

3. Provide the relevant information below:

| | | | |
|------------------------------|--|-------------------|--|
| Name of Licensee: | | | |
| Address: | | | |
| Date Initial Licence Issued: | | Licence Number: | |
| Contact Person: | | Telephone Number: | |
| Fax Number: | | E-mail Address: | |

SECTION IV: DIRECTORS /SENIOR OFFICERS TO BE APPOINTED

4. The following are the names of the proposed DIRECTORS of the above-named licensee:

| | | | | |
|---|--|------------------------------|--|---|
| Director 1: | | Effective Date: | | <input type="checkbox"/> Schedule B(1) Attached |
| Thirty (30) days prior notice was given to the Commission before appointment: | | <input type="checkbox"/> Yes | <input type="checkbox"/> No (Letter ¹ Attached) | |
| Director 2: | | Effective Date: | | <input type="checkbox"/> Schedule B(1) Attached |
| Thirty (30) days prior notice was given to the Commission before appointment: | | <input type="checkbox"/> Yes | <input type="checkbox"/> No (Letter ¹ Attached) | |

5. The following are the names of the proposed SENIOR OFFICERS of the above-named licensee:

SCHEDULE J: NOTICE OF APPOINTMENT OF DIRECTOR OR SENIOR OFFICER OF THE MONEY SERVICES BUSINESS

| | | | | |
|---|--|------------------------|------------------------------|--|
| Senior Officer 1: | | Effective Date: | | <input type="checkbox"/> Schedule B(1) Attached |
| Thirty (30) days prior notice was given to the Commission before appointment: | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No (Letter ¹ Attached) |
| Senior Officer 2: | | Effective Date: | | <input type="checkbox"/> Schedule B(1) Attached |
| Thirty (30) days prior notice was given to the Commission before appointment: | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No (Letter ¹ Attached) |

SECTION V: DIRECTORS /SENIOR OFFICERS TO BE REMOVED

6. The following persons ceased to be DIRECTORS of the above-named licensee:

| | | | |
|--------------------|--|------------------------|--|
| Director 1: | | Effective Date: | |
| Director 2: | | Effective Date: | |
| Director 3: | | Effective Date: | |
| Director 4: | | Effective Date: | |

7. The following persons ceased to be SENIOR OFFICERS of the above-named licensee:

| | | | |
|--------------------------|--|------------------------|--|
| Senior Officer 1: | | Effective Date: | |
| Senior Officer 2: | | Effective Date: | |
| Senior Officer 3: | | Effective Date: | |
| Senior Officer 4: | | Effective Date: | |

SECTION VI: DETAILS OF CURRENT DIRECTORS/SENIOR OFFICER

8. The current DIRECTORS of the above-named licensee now are:

| | | | |
|--------------------|--|--------------------|--|
| Director 1: | | Occupation: | |
| Director 2: | | Occupation: | |
| Director 3: | | Occupation: | |
| Director 4: | | Occupation: | |
| Director 5: | | Occupation: | |
| Director 6: | | Occupation: | |
| Director 7: | | Occupation: | |

9. The current SENIOR OFFICERS of the above-named licensee now are:

| | | | |
|--------------------------|--|-------------------|--|
| Senior Officer 1: | | Job Title: | |
| Senior Officer 2: | | Job Title: | |
| Senior Officer 3: | | Job Title: | |
| Senior Officer 4: | | Job Title: | |
| Senior Officer 5: | | Job Title: | |
| Senior Officer 6: | | Job Title: | |
| Senior Officer 7: | | Job Title: | |

SECTION VII: DECLARATION

I hereby certify that all the information provided and any other document provided in support of this schedule is true and correct to the best of my knowledge and belief. I further undertake to inform the Commission without delay of any changes to the

SCHEDULE J: NOTICE OF APPOINTMENT OF DIRECTOR OR SENIOR OFFICER OF THE MONEY SERVICES BUSINESS

information supplied with this schedule.

| | | | |
|------------------|--|------------|--|
| Authorized Name: | | Signature: | |
|------------------|--|------------|--|

| | | | |
|-------------------|--|-------|--|
| Authorized Title: | | Date: | |
|-------------------|--|-------|--|

SECTION VIII: DOCUMENTATION WHICH FORMS PART OF THIS NOTICE

| Documents | Notes | Attached |
|--|--|--------------------------|
| 1. Schedule B(1): b Personal Questionnaire | A completed Schedule B: money services business personal questionnaire must be completed by each newly appointed director and submitted along with the relevant supporting documentations. | <input type="checkbox"/> |
| 2. Shareholder's Resolution | A copy of the shareholder's resolution confirming the appointment and/or removal of the director(s). | <input type="checkbox"/> |
| 3. Letter for late submission of notice | ¹ A letter specifying the reasons for the appointment of the proposed director or senior office without thirty (30) days prior notification to the Commission. | <input type="checkbox"/> |

SECTION IX: ADMINISTRATION – FOR FSRC USE ONLY

Comments:

| | | | |
|------------------|--|------------|--|
| Authorized Name: | | Signature: | |
|------------------|--|------------|--|

| | | | |
|-------------------|--|-------|--|
| Authorized Title: | | Date: | |
|-------------------|--|-------|--|