



Financial Investigation Agency

PO Box 4090, 2nd Floor, Ritter House, Wickham's Cay II
Road Town, Tortola, VG 1110, British Virgin Islands

Updated February 2025

Designated Non-Financial Business and Professions ("DNFBPs") Application for Registration (Form A1a) of Directors, Senior Managers and Persons with Significant or Controlling Interest

In accordance with **Section 5C of the Financial Investigation Agency Act, 2003, as amended (the "FIA Act")**, and the subsequent **Guidance Notes on the Fit and Proper Test** issued by the Financial Investigation Agency ("the Agency"), this form should be completed for every director, senior officer and person holding a significant or controlling interest within a DNFBP.

As per Section 5C(3) of the FIA Act, every DNFBP must provide to the Agency the names of its directors, senior officers and those persons who hold a significant or controlling interest within the DNFBP.

This information **must** be provided at the point of registration AND whenever there is a change in the directors, senior officers or those persons who hold a significant or controlling interest within the DNFBP. This form can be used in both instances.

Section 1 – General Information

Category		
For persons holding a significant or controlling interest, please provide details of the interest:		
Name of Organisation:		
Individual Full name:		
Previous name (if changed), other names or aliases:		
Date of birth:		
Nationality:		

2 forms of Identification: A Passport is mandatory (Other forms of ID include National ID Card, Driver's License, etc.)		
ID document number:		
Current Residential Address:		
Previous address (if less than 2 years at current address):		
Current Mailing Address (If applicable):		
Telephone number:		
Email:		

Section 2 – Fit and Proper Assessment

Part 1 of this section is to be completed by all directors, senior officers, persons holding a significant interest or persons holding a controlling interest. Part 2 should only be completed by directors and senior officers.

Part 1 – Honesty, Integrity and Reputation

If you answer yes to any of the questions below, please provide further details in Section 3.

	Please select as appropriate
1. Have you ever been convicted of any offence by any court in the Virgin Islands or elsewhere?	
2. Are you connected* to a person who has been convicted of any offence by any court in the Virgin Islands or elsewhere?	
3. Do you have any criminal proceedings pending by any court in the Virgin Islands or elsewhere?	
4. Are you connected* to a person who has criminal proceedings pending that may lead to a conviction by any court in the Virgin Islands or elsewhere?	
5. Have you ever been subject to any civil proceedings in the Virgin Islands or elsewhere?	
6. Have you ever been a principal officer, of an entity that was, during your period of association, convicted of an offence?	
7. Have you ever been disqualified or restricted in the Virgin Islands or elsewhere by a court from acting as a director or senior officer of a company?	
8. Has any disciplinary, enforcement, disqualification or similar proceedings been taken against you by any professional body, regulatory body or association, in the Virgin Islands or elsewhere?	
9. If your answer to question 8 is yes, please indicate whether such proceedings are pending or concluded and provide further details.	-
10. Has any disciplinary, enforcement, disqualification or similar proceedings been taken against any person you are connected* with, by any professional body, regulatory body or association in the Virgin Islands or elsewhere?	
11. If your answer to question 10 is yes, please indicate whether such proceedings are pending or concluded and provide further details:	-
12. Have you ever been expelled or excluded from, or refused admission to, a professional body?	
13. Are you connected* to a person who has ever been expelled or excluded from, or refused admission to a professional body?	
14. Have you ever been refused, restricted in, or had suspended, the right to carry on trade, business or profession for which a specific licence, authorisation, registration, membership or other permission is required?	
15. Are you connected* to a person, either natural or legal, who has been refused, restricted in, or had suspended, the right to carry on trade, business or profession	

for which a specific licence, authorisation, registration, membership or other permission is required?	
16. Have you ever been asked to resign or been dismissed from any employment, a position of trust or similar appointment?	
17. Have you been the subject of any bankruptcy proceedings or filed for bankruptcy?	
18. Has any business with which you have been associated as a director, senior manager or officer ever gone into insolvency, liquidation or administration while you were connected* with the business, or within one year of the end of such a connection?	
19. Have you at any time failed to satisfy any personal or business-related debts due under a Court Order made in the Virgin Islands or elsewhere?	
20. Are you aware of any matter relating to your character, reputation or financial position, either past or present, that the Agency may regard as relevant in considering this application?	

*** Connected means “related by blood or marriage or having a social or professional relationship.”**

Part 2 – Competence and capability (Directors and Seniors Officers only)

	Please select as appropriate
21. Do you have the technical knowledge, skill, ability and experience necessary to perform the duties relevant to your role?	
22. Please provide further details:	
23. Will you have sufficient time and commitment to properly discharge the duties relevant to your role?	
24. Please provide further details:	
25. Do you have an understanding of the general money laundering and terrorist and proliferation financing risks which may apply to your organisation?	
26. Please provide further details:	

Section 3 – Additional information

If you have answered yes to any of the questions covered in Section 2, please provide further information here.

Section 4A – Declaration by the proposed applicant

This declaration must be signed by the director, senior officer or person holding significant or controlling interest in the organisation making the application.

I, hereby, declare that the information provided in this application is true and complete. I am aware that in accordance with section 5J(1)(f) of the FIA Act, that providing the Agency with any false, inaccurate or misleading information may result in enforcement action being taken against me.

I also declare that I have read and understood the Fit and Proper requirements contained within the “Guidance Notes on Fit and Proper test for Directors, Senior Officers, and Persons holding Significant or Controlling interests” issued by the Agency.

Signature	
Print Name	
Date	

Section 4B – Declaration by the DNFBP

This declaration must be made by a Director or Partner of the DNFBP.

I, hereby, declare that the information provided in this form is, to my knowledge, true and accurate and that all documents submitted with this application with respect to the applicant have been verified as authentic. I am aware that in accordance with section 5J(1)(f) of the FIA Act that providing the Agency with any false, inaccurate or misleading information may result in enforcement action being taken against me.

Signature	
Print Name	
Position within DNFBP	
Date	

Section 5 - Checklist

The following checklist contains information on the documentation, which must accompany this application. In order to assist the Agency in completing your registration, please place a “Yes” next to each document provided. Where required, you may use the comments section to provide additional clarity.

Further information on which documentation is required can be found in the Agency’s Fit and Proper Test Guidance Notes document.

	Yes to confirm	Comments
Copies of identification documents All identification documents must be valid and must have a photo of the individual affixed to the document.		
Address verification document If a bank statement or utility bill is used, it must not be dated more than 3 months from the date submitted to the Agency. The address should coincide with the address on the application form.		
Police certificate Must be dated within 6 month of the date the application is submitted. (NB: a police report must be obtained from every jurisdiction to which the interest of a proposed director, senior officer or persons holding significant or controlling interests relates).		
Resume / CV / Bio (Directors and Senior Officers only) The Agency needs this in order to assess competence and capability as part of the Fit and Proper test.		
Academic and/ or other relevant qualifications (Directors and Senior Officers only)		
Job description (Senior officers only) Must be signed by a Director, confirming its accuracy.		
Organisational chart, clearly showing lines of reporting (one chart may be provided per DNFBP application, but in doing so, the chart must clearly show the lines of reporting for each post for which approval is being sought). Must be signed by a Director, confirming its accuracy.		
Any other relevant supporting documents		