



CORPORATE PROFILE FORM

(Fill one per corporate entity)

We the undersigned company _____ (the “Corporate Entity”) hereby declare that we are or will be the beneficial owner (directly or indirectly) of _____ (insert number) shares in _____ (the “Company”) and that the following information is correct and true:

CORPORATE ENTITY:

Name of Corporate Entity

Registered Office Address (in full)

Location of Principal Place of Business

Description of Business

Date of Commencement of Business

Products or Services Provided by Business

CONTACT DETAILS:

Tel: () _____ Fax: () _____ Email: _____

Mailing address (if different from above): _____

Name & office of authorized representative(s)/signatory(ies): _____

Tel: () _____ Fax: () _____ Email: _____

OWNERSHIP:

Describe the ownership structure of the Corporate Entity all the way up to the individual ultimate beneficial owners (Please attach a certified copy of the organizational structure chart, if applicable): _____

Name, address and contact details of each natural person having a beneficial interest (directly or indirectly) of 10% or more in the Corporate Entity:

Name	Country of citizenship	Percentage ownership In the Corporate Client
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

Is the Corporate Entity:

- 1 Listed on a regulated securities exchange¹ Yes No

(If yes, please provide details): _____

- 2 A licensee or registrant under the Banks and Trust Companies Regulations Act, the Investment Funds Act, 2003, the Securities Industry Act, 2011, the Insurance Act, 2009, the External Insurance Act, 2009 or the Financial and Corporate Services Providers Act, 2001 or a wholly owned subsidiary or affiliate of a licensee or registrant? Yes No

(If yes, please provide details): _____

¹ A regulated securities exchange is the Bahamas International Securities Exchange or any other securities exchange in a country that is a member in good standing with the International Organization of Securities Commissions.

3 A foreign regulated person²

Yes No

(If yes, please provide details and documentary evidence of status): _____

4 A foreign state or a wholly owned subsidiary of a foreign state.

Yes No

(If yes, please provide details and in the case of subsidiary of a foreign state, documentary evidence of status): _____

² A foreign regulated person is a person (a) that is incorporated, registered, licensed or formed, or if it is not a body corporate, has its principal place of business in a jurisdiction outside The Bahamas, (b) that carries on business outside The Bahamas that, if carried on within The Bahamas, would be a financial institution or a designated non-financial business or profession for the purposes of any laws governing reporting of financial transactions and (c) in respect of a business referred to in (b) above, (i) is subject to legal requirements in its jurisdiction for the detection and prevention of money laundering that are consistent with the requirements of the Caribbean Action Task Force Recommendations or Financial Actions Task Force Recommendations in relation to that business and (ii) is properly and adequately supervised for compliance with those legal requirements by a foreign regulatory authority. For this purpose, a “**financial institution**” includes (a) a bank or trust company licensed under the Banks and Trust Companies Regulation Act; (b) a company carrying on (i) long term insurance business, as defined in section 2 of the Insurance Act; (ii) insurance business as defined in section 2 of the External Insurance Act; or (iii) such other insurance business as the Minister of Finance may designate by notice published in the Gazette; (c) a co-operative credit union registered under The Bahamas Co-operative Credit Unions Act; (d) the holder of a gaming licence, proxy gaming licence, mobile gaming licence, restricted interactive gaming licence and gaming house operator licence under the Gaming Act; (e) a broker-dealer within the meaning of section 2 of the Securities Industry Act, 2011; (f) a trustee, administration manager or investment manager of a superannuation scheme; (g) an investment fund administrator of an investment fund within the meaning of the Investment Funds Act, 2003; (h) a person whose business or a principal part of whose business consists of (i) borrowing or lending or investing money; (ii) administering or managing funds on behalf of other persons; (iii) acting as trustee in respect of funds of other persons; (iv) dealing in life insurance, and insurance business, which is investment related; (v) providing financial services that involve the transfer or exchange of cash, 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, trading for account of others (in money market instruments, foreign exchange, interest and index instruments, transferable securities and futures), participation in securities issues, portfolio management, safekeeping of cash and liquid securities, investment related insurance and money changing; but not including the provision of financial services that consist solely of the provision of financial advice; (i) a financial and corporate service provider licensed under the Financial and Corporate Service Providers Act, 2001; (j) a designated non-financial business and profession (defined below); (k) a non-bank entity licensed and regulated by the Central Bank under the Payment Systems Act, 2012; and (l) any other category of institutions that the Minister of Finance may by order designate. A “**designated non-financial business and profession**” includes the business or profession of (a) real estate agents and brokers, when they are involved as real estate broker in financial transactions for their client concerning the buying or selling of real estate, and with respect to both the vendors and purchasers; (b) land developer engaging in the sale or partition or condominiumizing of any part, parcel, lot or condominium unit of any larger tract or lot of land or any development of land involving the building of units sharing walls, common areas and utilities; (c) a person whose business or any part of whose business consists of (i) buying for the purpose of trade, sale, exchange, or otherwise dealing in any previously owned precious metals or precious stones, whether altering the same after acquisition or not; or (ii) lending of cash on the security of previously owned precious metals or precious stones of which the person takes possession, but not ownership, in expectation of profit, gain or reward; (d) a pay day advance provider, hire purchase lender or any lender whose loans are secured by salary deductions; (e) a counsel and attorney or accountant when they engage in, or carry out transactions for a client concerning (i) the buying or selling of real estate; (ii) a deposit or investment of cash; (iii) the management of client funds or securities; (iv) the management of bank, savings or securities accounts; (v) the organisation of contributions for the creation, operation of management of a legal person; (vi) the creation, incorporation, operation or management of a legal person or legal arrangement, and buying and selling of a business entity; (vii) the provision of a registered office or acting as a registered agent; or (viii) the acting as or arranging for another person to act as, a nominee shareholder for another person; (f) an accountant, but only to the extent that the accountant receives cash in the course of that person’s business for the purposes of deposit or investment otherwise than as part of services rendered pursuant to a financial and corporate service provider’s license; and (g) a trust and company services providers not otherwise covered by the this definition which, as a business, prepare for and carry out or otherwise provide the following services or transactions to third parties (i) acting as a formation, registration or management agent of legal persons; (ii) acting as, or arranging for another person to act as, a director or secretary of a company or a partner of a partnership, or to hold a similar position in relation to other legal persons; (iii) providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or legal arrangement; (iv) acting as, or arranging for another person to act as, a trustee of an express trust or performing the equivalent function for another, similar for of legal arrangement; (v) acting as, or arranging for another person to act as, a nominee shareholder for another person; (h) the Savings Bank as constituted under the Savings Bank Act; (i) a friendly society enrolled under the Friendly Societies Act; (j) the Bahamas Mortgage Corporation established under The Bahamas Mortgage Corporation Act; (k) the Bahamas Development Bank established under the Bahamas Development Bank Act; and (l) such other businesses and professions as the Minister of Finance may designate by Order.

DOCUMENTATION IN RESPECT OF CORPORATE ENTITY:

(Please note that the following must be enclosed with this form)

- Certified copies of the Certificate of Incorporation or Registration and the constitutional documents of the Corporate Entity;
- Certificate of Good Standing or equivalent evidence that the Corporate Entity has not been or is not about to be struck off the register or wound up;
- Registers of Directors, Officers and Shareholders of the Corporate Entity;
- For Directors and Officers - Certified copies of relevant pages of the passport and utility bill (dated not more than 90 days prior to the date hereof);
- For any persons controlling 10% or more of the voting rights of the Company, having principal control over the assets of the Corporate Entity, exercising control over the management of the Corporate Entity (other than solely as a Director, Advisor or Professional Manager) or any authorised signatory - Certified copies of relevant pages of the passport and utility bill (dated not more than 90 days prior to the date hereof) and completed individual profile form;
- For all beneficial owner(s)/shareholder(s) holding a beneficial interest or owning or controlling (directly or indirectly) 10% or more of the shares in the Corporate Entity - Certified copies of the relevant pages of the passport and utility bill (dated not more than 90 days prior to the date hereof), financial and character reference letters and completed individual client profile form; and
- Board resolutions of the Corporate Entity authorizing the formation of the Company and if applicable, the authorized signatories.

We hereby authorize you to independently verify any information provided herein and undertake to immediately inform you of any changes to the above.

For and on behalf of the Corporate Entity:

Date:

Signature of authorized representative

Client No. (To be filled by HJCS): _____

Reference Guidance Notes

With regard to the references, they may consist of one as to reputation and standing of the Corporate Entity and the other may be a financial reference:

1. if a **reference as to reputation and standing** only:
 - (i) the reference should be current, from a professional (eg. Lawyer, accountant, doctor or banker, and should be presented on original letterhead.
 - (ii) the referee should have had regular dealings with the corporate entity for a minimum of 3 years. The actual number of years must be stated.
 - (iii) the referee should outline what he knows of the business and history of the corporate entity.
 - (iv) the reference must be addressed to the Compliance Officer, H & J Corporate Services Ltd., P.O. Box SS-19084, Nassau, Bahamas.

2. if a **financial reference**:
 - (i) the reference should include the manner in which the corporate entity conducts its banking business.
 - (ii) the nature of the relationship between the corporate entity and the bank.
 - (iii) the duration of the relationship between the corporate entity and the bank, which must be a minimum of 3 years.
 - (iv) the reference must be addressed to the Compliance Officer, H & J Corporate Services Ltd., P.O. Box SS-19084, Nassau, Bahamas.