

Form 7

(Regulations 4, 14, 15 and 25)

AML/CFT/PF RISK ASSESSMENT FORM FOR AN OPERATOR LICENCE, SEZ ENTERPRISE LICENCE AND SINGLE ZONE LICENCE

SECTION 1 – GENERAL INFORMATION

This section is to be completed by all applicants

1. Name of Applicant	
2. Legal Status, select as appropriate <input type="checkbox"/> Public Body ¹ <input type="checkbox"/> Private Body <input type="checkbox"/> Public-private partnership	
3. Office Number	
4. Email Address	
5. Certified copies of the following documents are to be submitted: (a) Certificate of Incorporation (b) Articles of Incorporation (c) Company By-Laws (d) Certificate of Registration of External Company (e) Name and address of local agent, where applicable (f) Most recent Annual Return (g) Most recent Return of Beneficial Interest in the Shares of a Company (h) Partnership Agreement, where applicable (i) Public-Private Partnership Agreement, where applicable	
6. Primary address where business operations will be carried out	
7. Number of Employees currently in the Applicant's employ	
8. Applicant's Total Asset size at end of last financial year	

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A Public Body is:

- (a) a Ministry or a department or division of a Ministry;
- (b) the Tobago House of Assembly, or a division of the Tobago House of Assembly;
- (c) a Municipal Corporation established under the Municipal Corporations Act;
- (d) a Regional Health Authority established under the Regional Health Authorities Act;
- (e) a statutory body, responsibility for which is assigned to a Minister of Government;
- (f) a State-controlled enterprise;
- (g) a body corporate or unincorporated entity -
 - i. in relation to any function which it exercises on behalf of the State; or
 - ii. which is established by virtue of the President's prerogative, by a Minister of Government in his capacity as such or by another public authority; or
- (h) a body corporate or unincorporated entity in relation to any function, project, scheme or arrangement which involves the use by it, of public money.

SECTION 2 - KEY PERSONNEL

This section is to be completed by all applicants

9. Details of Directors

Name	Address	Occupation	Nationality

10. Details of Partners

Name	Address	Occupation	Nationality

11. Principal Officers

Name	Address	Position	Nationality

12. Are any of the directors, principal officers or partners listed above a politically exposed person?²

☐ Yes ☐ No

If yes, provide details

Please provide copies of one of the following valid picture identification documents for each of the directors, partners and officers listed above: Bio-data page of passport, national identification card or driver's licence.

² A politically exposed person would include current holders of the following positions or persons who have previously held such positions: Head of State, Head of Government, Ministers of Government, Senior Politicians, Senior Government Officials, Senior Military Officials, Judicial Officers, Senior Executives of State-Owned Corporations and Senior Political Party Officials.

SECTION 3 – OWNERSHIP STRUCTURE

This section is to be completed by all applicants

13. Name and registered address of Applicant’s parent company (if applicable)

14. Name, registered address and location of operations of Applicant’s branches and/or subsidiaries operating **outside** of Trinidad and Tobago (if applicable)

Name	Registered Address	Location of operations

Additional information attached

15. Relationship of branches/subsidiaries **outside** of Trinidad and Tobago to the Applicant and percentage owned by the Applicant (if applicable)

Name	Branch/Subsidiary/Other	Percentage owned
		%
		%
		%
		%
		%

Additional information attached

16. Operations of the Applicant's branches/subsidiaries in **another** Special Economic Zone (SEZ) or Free Trade Zone (FTZ) (if applicable)

Name	Branch/Subsidiary/Other	SEZ/FTZ location

Additional information attached

17. Name, registered address and location of operations of Applicant's branches and/or subsidiaries operating **within** Trinidad and Tobago (if applicable)

Name	Registered Address	Location of operations

Additional information attached

18. Relationship of branches/subsidiaries **within** Trinidad and Tobago to the Applicant and percentage owned by the Applicant (if applicable)

Name	Branch/Subsidiary/Other	Percentage owned
		%
		%
		%
		%
		%

Additional information attached

SECTION 4 – OPERATIONAL INFORMATION**This section is to be completed by all applicants**

19. Type of License(s) for which the Applicant has applied

20. Activities performed by the Applicant and percentage of Assets applicable to each activity in relation to Total Assets:

Activity	Percentage of Total Assets
Manufacturing	%
Maritime Services	%
Aviation Services	%
Fishing and Fish Processing	%
Agriculture and Agro Processing	%
Information and Communications Technology	%
Creative Industries	%
Financial Services	%
Medical Tourism Services	%
Renewable Energy	%
Logistics and Distribution	%
Business Process Outsourcing	%
Other (please state)	%

21. Activities performed by the Applicant and percentage of Revenue applicable to each activity in relation to Total Revenue received in last financial year:

Activity	Percentage of Total Revenue
Manufacturing	%
Maritime Services	%
Aviation Services	%
Fishing and Fish Processing	%
Agriculture and Agro Processing	%
Information and Communications Technology	%
Creative Industries	%
Financial Services	%
Medical Tourism Services	%
Renewable Energy	%
Logistics and Distribution	%
Business Process Outsourcing	%
Other (please state)	%

22. Date of the Applicant's last Audited Financial Statement

23. Applicant's Total Assets at date of last Audited Financial Statement

24. Applicant's Gross Income at date of last Audited Financial Statement

25. Estimated geographical distribution of Applicant's current or intended customer/client base

Location	Percentage of Total customers/clients
Domestic (within Trinidad and Tobago)	%
International	%

26. Estimated geographical distribution of Applicant's total revenue/intended total revenue derived from Domestic and International trade

Location	Percentage of Total Revenue
Domestic (within Trinidad and Tobago)	%
International	%

27. Current/Intended jurisdictions to which Applicant's goods will be exported and imported

Jurisdiction	Percentage of Exports	Percentage of Imports
	%	%
	%	%
	%	%
	%	%
	%	%

Additional information attached *(please attach any additional jurisdictions and percentage of imports and exports on a separate sheet)*

28. Current/Intended jurisdictions to which Applicant's services will be exported and imported

Jurisdiction	Percentage of Exports	Percentage of Imports
	%	%
	%	%
	%	%
	%	%
	%	%

Additional information attached *(please attach any additional jurisdictions and percentage of imports and exports on a separate sheet)*

29. What percentage of the Applicant's revenue is intended to be derived from the following payment methods:

Payment Method	Percentage of Revenue
Cash	%
Cheque	%
Credit Card	%
Debit Card	%
Travellers' Cheque	%
Credit Facility Repayment	%
Wire Transfers	%
Virtual Assets	%
Other [Money Orders, Bearer Bonds, Internet)	%

30. Does the Applicant have systems in place to record, monitor and/or store customer/client transactions?

Yes No

31. Does the Applicant have systems in place to record and store customer/client identification information?

Yes No

32. If answered "Yes" to questions 30 or 31 above, please provide a brief summary of the methods used to record, monitor and/or store customer transaction or identification information.

[illegible]

33. If answered "Yes" to questions 30 or 31 above, for how long is this type of information stored?

34. If answered "Yes" to questions 30 or 31 above, does the Applicant have measures in place to ensure the security and confidentiality of the information stored?

Yes No

The following documents are to be provided:

- (a) *Financial projections, bank statements, or any other financing and or contractual arrangements of the applicant;*
- (b) *Where applicable, an affidavit verifying the source of funds other than from the business activities of the applicant; and*
- (c) *A reference from a banker or a reputable firm of lawyers or accountants.*

SECTION 5 – TARGETED FINANCIAL SANCTIONS AND PROLIFERATION FINANCING

This section should only be completed by applicants who intend to provide Financial Services as their core business

35. Is the Applicant and/or any of its subsidiaries, counterparties, directors or officers the subject of any economic or other financial sanctions imposed by the United Nations?

Yes No

(please click here to access the [UN Sanctions List](#))

36. If answered "Yes" to the above, please list the name of the jurisdiction/individual or entity that is the subject of the economic or financial sanction

Jurisdiction/individual/entity

Additional information attached (please list any additional jurisdictions and sanctions in a separate sheet)

37. Is the Applicant and/or any of its subsidiaries or counterparties engaged in transactions, investments, business or other dealings that directly or indirectly involve or benefit any jurisdiction/entity/individual that is subject to a financial sanction/s imposed by the United Nations?

Yes No

(please click here to access the [UN Sanctions List](#))

38. If answered "Yes" to the above, please list the sanctioned jurisdictions and the number of transactions conducted.:

Jurisdiction	Number of transactions over last financial year

Additional information attached (please list any additional jurisdictions and sanctions in a separate sheet)

39. Does the Applicant have measures in place to screen its clients/customers against domestic or international lists for targeted financial sanctions?

Yes No

40. Does the Applicant trade in or intend to trade in any of the following types of controlled or dual use items?

Yes No	Nuclear Materials - Nuclear Reactor - Pressure Tubes - Zirconium Metal Tubes - Steam generators
Yes No	Special Materials - Protective and detection equipment - Body armour and components - High-density lead glass
Yes No	Material Processing - Bearing systems - Milling Machines - Robotics - Vibration test systems - Motion simulators
Yes No	Electronics - Microcomputers - Microcircuits - Microwave Amplifiers - Oscillator - High-speed pulse generators
Yes No	Computers - Electronic Computers - Hybrid Computers - Analogue Computers
Yes No	Telecommunications - Telecommunication systems - Electronically steerable antennae - Interception & Jamming equipment
Yes No	Sensors - Acoustic systems - Optical sensors - Scanning cameras - Imaging cameras - Optical equipment
Yes No	Navigations & Avionics - Accelerometers - Gyros - Inertial measurement equipment - Global Navigation Satellite Systems
Yes No	Aerospace & Propulsion - Gas Turbine Engines - Marine gas turbine engines - Liquid rocket propulsion - Ramjet - Scramjet
Yes No	National Controlled Commodities - Armoured components and technologies
Yes No	Other (please state)

41. If answered "Yes" to any of the above, does the Applicant have authorization to conduct such trade?

Yes *(Please attach copy of authorisation attached)*

No

42. Has the Applicant conducted transactions with entities or individuals based in any of the countries listed by the Financial Action Task Force (FATF) as High-risk and other monitored jurisdictions (See list on FIUTT's website <https://fiu.gov.tt/about-us/publications/fatf-statements/>) within its last financial year?

Yes

No

43. If answered "Yes" to question 42 above, please state the countries involved and number of transactions conducted.

High Risk or Other Monitored Jurisdiction	Number of transactions over last financial year

Additional information attached *(please list any additional countries and transactions in a separate sheet)*

SECTION 6– GENERAL ML/TF/PF RISKS

This section is to be completed by all applicants

44. Please indicate whether the Applicant reviews the Money Laundering, Terrorist Financing or Proliferation Financing Risks of the following:

The Applicant's customers/clients (including Politically Exposed Persons or High Risk customers)	Yes	No
The Applicant's products, services and activities (including those of its subsidiaries and branches)	Yes	No
The geographic location of the Applicant's counterparties, subsidiaries and branches (e.g. crime hot spots or high risk jurisdictions)	Yes	No
The Applicant's mechanisms used to engage with customers (e.g. use of intermediaries, delivery channels, technologies)	Yes	No

45. Where the Applicant reviews the risks identified in question 44 above, please indicate the percentage of customers/clients which fall into the following categories:

Risk Level	Percentage
High Risk	%
Medium Risk	%
Low Risk	%

46. Where the Applicant conducts reviews of the risks identified in question 45 above, please indicate whether these risks are reviewed at least annually.

Yes No

47. Has the Applicant conducted transactions with/does the Applicant intend to conduct transactions with individuals regarded as Politically Exposed Persons?

Yes No

48. If answered "Yes" to question 47 above, please indicate the number of Politically Exposed Persons with whom transactions have been conducted or are intended to be conducted.

SECTION 7 – FINANCIAL SECTOR AML/CFT/CPF COMPLIANCE

This section is to be completed by all applicants

49. Is the Applicant registered with a financial sector regulatory body in Trinidad and Tobago or elsewhere?

Yes

No

50. If answered yes to the above, please state the name and location of the financial sector regulator

Regulatory Body	Location

Additional information attached *(please list any additional regulators and jurisdictions in a separate sheet)*

	Yes	No
1. Do you have a current driver's license?		
2. Do you have a current vehicle insurance policy?		
3. Do you have a current vehicle registration?		
4. Do you have a current vehicle inspection sticker?		
5. Do you have a current vehicle title?		
6. Do you have a current vehicle sales tax certificate?		
7. Do you have a current vehicle license plate?		
8. Do you have a current vehicle title transfer fee?		
9. Do you have a current vehicle title transfer tax?		
10. Do you have a current vehicle title transfer fee and tax?		
11. Do you have a current vehicle title transfer fee and tax?		
12. Do you have a current vehicle title transfer fee and tax?		
13. Do you have a current vehicle title transfer fee and tax?		
14. Do you have a current vehicle title transfer fee and tax?		
15. Do you have a current vehicle title transfer fee and tax?		
16. Do you have a current vehicle title transfer fee and tax?		
17. Do you have a current vehicle title transfer fee and tax?		
18. Do you have a current vehicle title transfer fee and tax?		
19. Do you have a current vehicle title transfer fee and tax?		
20. Do you have a current vehicle title transfer fee and tax?		

53. Has the Applicant ever been subject to regulatory action by a financial sector regulator (either within Trinidad and Tobago or outside of Trinidad and Tobago) for non-compliance with AML/CFT/CPF laws?

Yes No

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I make this declaration conscientiously believing the same to be true and according to the Statutory Declarations Act, and I am aware that if there is any statement in this declaration which is false in fact, which I know or believe to be false or do not believe to be true, I am liable to fine and imprisonment.

Declared to at _____ in _____

By

This day of ,

Before me,

Commissioner of Affidavits

Signature:	
Name in Block Letters:	
Position:	
Date:	
Official Seal/Stamp:	

FORM 8

(Regulations 6, 16, 17, and 24)

DECLARATION OF CONSENT TO ENTRY OF INSPECTORS

TO: The Trinidad and Tobago Special Economic Zones Authority

Name of Applicant: _____

Presented by: _____

Pursuant to our application for *an Operator Licence/an SEZ Enterprise Licence/a Single Zone Enterprise Licence,

I, _____, of
(Name in block Letters)

(Address)

(Occupation and Nationality)

do solemnly and sincerely declare that in the event that the said *Operator Licence/SEZ Enterprise Licence/Single Zone Enterprise Licence is granted, we hereby consent to the entry of inspectors on any of the premises specified in the *Operator Licence/SEZ Enterprise Licence/Single Zone Enterprise Licence during working hours or such other times as the premises are open to the public or otherwise in use by the applicant, for the purposes of the exercise of their powers under the provisions of the Trinidad and Tobago Special Economic Zones Act, 2022.

(*Delete if not applicable)

Sworn to at)

.....)

this day of, 20.....) Before me:

Commissioner of Affidavits