



FINANCIAL SERVICES COMMISSION

The Gian C. Gandhi Building

P.O. Box 455

6130 Iguana Avenue, Mountain View Area,

City of Belmopan, Belize, C. A.

This Form must be electronically submitted to compliance@belizefsc.org.bz .

DECLARATION OF COMPLIANCE

FOR LICENSEES - NO. 7 LICENCE: TRADING IN FINANCIAL AND COMMODITY-BASED DERIVATIVE INSTRUMENTS AND OTHER SECURITIES

(All sections are to be completed in BLOCK CAPITALS and the Form must be notarised and apostilled.)

Name and Address of Licensee	
Date of First Issuance of Trading in Securities Licence	
List other Licences	
Date of Declaration	

I, _____, do solemnly and sincerely declare that –

- The Licensee, _____ is in full compliance with the Standard Conditions annexed to the Trading in Securities Licence.**

Yes

No

OR

- The Licensee, _____ is NOT in full compliance with the Standard Conditions annexed to the Trading in Securities Licence.**

- The Licensee, _____ is deficient on Conditions _____.

o The Licensee, _____ received _____ complaints as specified below:

2023 No. of complaints Resolved _____
Unresolved _____

The Licensee, _____ has referred the deficiencies to the Board of Directors or Senior Management, as appropriate.

Yes **No**

o The Licensee, _____ has developed and implemented an Action Plan to correct the deficiencies identified.

Yes **No**

- **I am satisfied that I, along with all Directors, Shareholders, Senior Officers who can influence the management of the Licensee, _____, satisfy the Financial Services Commission (Financial Services Practitioners Code Of Conduct And Best Practices) Regulations, 2023.**

Yes **No**

- **The Licensee, _____ has not and will not conduct itself or engage in any business that could result in damage to Belize’s reputation and will seek to protect and enhance, Belize’s reputation as an international financial services center in the carrying on business duly licensed by the Trading in Securities Licence.**
- **I am serving the Licensee, _____ in the senior position of _____ and I can influence management of the Licensee.**
- **And I make this solemn declaration conscientiously believing the same to be true, and by the provisions of the Oaths Act, Chapter 130, Revised Edition 2020**

Declared at:

DATED This _____ day of _____ 20 _____

Before me

Signature of person making
this declaration (to be
signed in front of Notary)

Signature of Notary

Name of Notary _____

Title _____

Address _____

If the Licensee has **not** complied with any of the Standard Conditions Annexed to the Licence for Trading in Securities and the AML/CFT obligations imposed on reporting entities under the Money Laundering and Terrorism (Prevention) Act, Chapter 104 of the Laws of Belize, Revised Edition 2020, please list the reasons below and then specify the measures being implemented (attach Action Plan, if applicable) to address the deficiencies. The Licensee is also required to report on the outstanding complaints from clients and to provide the mechanism in place to address these complaints. If there is insufficient space below for your answers, please attach numbered pages to the declaration.

NB: This Declaration is subject to confirmation. Should the Financial Services Commission find that the Declaration is false or that the Licensee has failed to comply with any of the Standard Conditions of the Licence for Trading in Securities, the relevant Licensee may be subject to such disciplinary action as is considered appropriate including the revocation of Licence.