



## **FIRST-TIME LICENSE CHECKLIST**

Completed Application Form

### **Supporting documents listed below:**

Pictures of principal office/registered office address.

Notarised proof of identification.

Proof of address (not more than 3 months old).

Certificate(s) of qualification.

Practicing certificate.

Curriculum vitae.

Names and Biographical Affidavit for each Directors/Shareholders/Beneficial Owners/Partners/Officers of the applicant.

Police Record (not more than 3 months old).

**If the answer to any of the questions below is 'Yes', full details of the response must be provided as an attachment to the application:**

- Has the applicant or any of its officers been convicted of a criminal offence, particularly a financial crime or has been subject of investigation for a regulatory breach?
- Has the applicant or any of its officers, in the last ten (10) years, been refused the grant of a professional, occupational, or vocational licence/registration by any regulatory, financial, or other competent authority or any licence previously held has been suspended or revoked?
- Has the applicant or any entity with which the applicant or its officers was associated with been served with a winding up petition?
- Has the applicant or any of its officers been disciplined or disqualified to act in such positions by any professionals or regulatory bodies (i.e., for example, from being a director (including nominee) or any managerial capacity, etc.).
- Has the applicant or any of its officers been dismissed by former employers or asked to voluntarily resign from employment due to proven gross misconduct?
- Has the licence/registration to carry on any business of financial services provider for other entities in which the applicant or any of its officers hold or held controlling or ownership interest has been suspended/revoked by any regulatory authority?

- Has any entity gone into insolvency or liquidation while the applicant or any of its officers served as a director or has acted in the management or conduct of the business affairs?
- Has the applicant or any of its officers been the subject of a judgement debt in Belize or elsewhere, that was not satisfied within a date specified; alternatively, it remains outstanding?
- Has the applicant or any of its officers ever been in a state of becoming insolvent or has become insolvent?
- Has the applicant or any of its officers ever been in undischarged bankruptcy, either voluntary or involuntary?
- Has the applicant ever appointed a receiver, liquidator, conservator, or other officer by whatever name called for the purpose of liquidating?

Two (2) Character References and one (1) Financial Reference.

Copy of the Business Name Certificate, if applicable.

Business Plan.

Internal Controls.

Request for approval to fulfil the capitalisation requirement, together with relevant supporting documentation.

Completed Payment Information Form.