



TURKS AND CAICOS ISLANDS FINANCIAL SERVICES COMMISSION

(E) Governance Changes: The following changes in shareholders, directors or senior officers occurred during the reporting period:

	Name	Designation	Incoming/ Outgoing	Effective Date of Change
a.				
b.				
c.				
d.				
e.				

(F) Due Diligence: During the reporting period:

1)	The Broker was the subject of a civil or criminal action in a Court of Law	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2)	The Broker was the subject of legal and/or disciplinary proceeding by a governmental agency or professional body	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3)	The Broker's PII was cancelled by the insurer	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4)	Claims were made against the Broker's PII cover	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5)	PII claims were settled by the Broker's insurer	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6)	PII claims were denied by the Broker's insurer	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If you answered **YES** to any of the above questions, please provide details below: *

I hereby confirm that the information contained in this Broker Annual Certificate and the accompanying documents furnished in support hereof are to the best of my/our knowledge and belief, complete, true and accurate in all material aspects as at the date of this Certificate.

Name:		Position:	
Signature:		Date:	

¹ A supplemental sheet can be added if more space is needed.