

# REGISTRATION OF NON-LICENSED PERSON IN THE SECURITIES SECTOR

Proceeds of Crime (Anti-Money Laundering and Anti-Terrorist Financing Supervision and Enforcement) Act 2008 (the SEA Act)



In accordance with the SEA Act, this form should be forwarded to the Bermuda Monetary Authority's Anti-Money Laundering (AML)/Anti-Terrorist financing (ATF) Unit with the registration fee (or proof of wire payment) and the company's board approved AML/ATF Policies & Procedures and Fit & Proper Requirements.

<b>Business Information:</b> <i>For definition of "Type of Business", see Section 2 of the Proceeds of Crime (Anti-Money Laundering and Anti-Terrorist Financing Supervision and Enforcement) Act 2008</i>	
<b>Register of Companies Number</b>	
<b>Non-Licensed Person Legal Name</b>	
<b>Type of Business</b>	Exempted — Investment Business Act 2003 Section13
<b>AML/ATF Policies &amp; Procedures attached</b> <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(tick one)</i>	<i>Please state AML/ATF policies and procedures document name and/or reason the policies are not attached.</i>
<b>Fit &amp; Proper Requirements attached</b>	<i>Please supply the résumés of the Compliance Officer and Reporting Officer in addition to anyone who effectively directs or controls the business of the applicant, including a director, controller or senior executive.</i>

<b>Compliance Officer Information:</b> <i>Person responsible for oversight of the AML/ATF regulated financial institution's compliance with AML/ATF regulations</i>		<b>Reporting Officer Information:</b> <i>Person nominated to receive internal suspicious activity reports</i>	
Name: <i>(please print)</i>		Name: <i>(please print)</i>	
Email:		Email:	
Telephone:		Telephone:	
Fax:		Fax:	
<b>Compliance Officer Address Details:</b>		<b>Reporting Officer Address Details</b>	
Company <i>(if applicable)</i>		Company <i>(if applicable)</i>	
Address Line 1:		Address Line 1:	
Address Line 2:		Address Line 2:	
City/Parish:		City/Parish:	
State, Zip Code:		State, Zip Code:	
Country:		Country:	

COMPANY INFORMATION			
<b>Physical Address</b>		<b>Mailing Address:</b> <i>(if different from physical address)</i>	
Address Line 1:		Address Line 1:	
Address Line 2:		Address Line 2:	
City/Parish:		City/Parish:	
State, Zip Code:		State, Zip Code:	
Country:		Country:	

PRIMARY CONTACT INFORMATION			
Billing Contact		Person Completing Registration Form <i>(If different from billing contact)</i>	
Name: <i>(please print)</i>		Name: <i>(please print)</i>	
Email:		Email:	
Telephone:		Telephone:	
		Signature/Date:	

**Payment Instructions**

*General Note:*

*All payments in respect of the above are payable to the Bermuda Monetary Authority's Finance Unit, Reference: AML/ATF Registration Fee*

*Please advise the remitting bank that all bank charges are to be paid by the payer or add bank charges to amount remitted.*

**Payment by cheque:**

*Cheques in US and Bermuda Dollars drawn on a Bermuda bank are accepted. All cheques in respect of the above are payable to the Bermuda Monetary Authority at:*

*BMA House  
43 Victoria Street  
Hamilton HM12  
Attention: AML/ATF Unit*

**International Payments**

*The following is information for international wire transfers to Bermuda Monetary Authority's two bank accounts:*

***For payments to our Bank of N.T. Butterfield & Son Limited account please use the following:***

*The Bank of New York Mellon  
ABA 021000018 SWIFT  
IRVTUS3NXXX*

*Credit to:*

*Bank of N.T. Butterfield and Son Limited In  
favour of:*

*Bermuda Monetary Authority  
Account No: 20 006 060 894331 100      SWIFT BNTBBMHM*

***For payments to our HSBC account please use the following:***

*HSBC Bank USA, N.A.  
ABA 021001088 SWIFT  
MRMDUS33*

*Credit to:*

*HSBC Bank Bermuda Limited In  
favour of:*

*Bermuda Monetary Authority  
Account No: 010 308427 001      SWIFT BBDABMHM*

**Domestic Payments**

*Domestic payments can be made directly to the Authority through the online banking systems at HSBC Bermuda and Butterfield Bank.*

*Select the "Proceeds of Crime (AML)" payment stream which can be identified within the "Bill Payee" section of your online bank via the prefixes, "The Bermuda Monetary Authority" or "BMA"*

*If you have any queries regarding payments, please email [finance-receivables@bma.bm](mailto:finance-receivables@bma.bm).*