

**Introduction**

The AML/CFT Inherent Risks - Fiduciary form (AIR-157-10) is to be completed by any entity that is licensed under the BTCL for purposes of engaging in trust business, as defined under the Banks and Trust Companies Law (the "BTCL") and any entity licensed under the Companies Management Law (the "CML") in REEFS, via its registered office, on or before **6 September 2019**.

**A - Client/Customer Risk**

**Any entity or person which has contracted the Licensee to provide "trust services" as defined in the Banks and Trust Companies Law or "corporate services" as defined in the Companies Management Law.**

**A - Client/Customer Risk**

**Clients - Indicate the types of clients the entity has in the following equivalent categories:**

A01	How many clients does the licensee have in total?	This section identifies the total number of clients that the licensee has, by country. Complete part (a) and part (b).
A01a	Number of Clients	This number should total all clients of the licensee.
A01b	Country of Residence	Jurisdiction in which each "client type" lives. If the "client type" lives in multiple jurisdictions, of those select the jurisdiction in which the client spends most time. For clients that are not natural persons select the jurisdiction in which the client was formed.
A02	Number of Clients by type and Country	This section identifies the total number of clients that the licensee has, by type. The types in which this section is interested are listed in the drop down list. For each client type listed in the drop down list in (a) client "type" (b) country (c) number of clients (d) value of assets <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A02a	Client Type	Select from drop down list
A02b	Country	Select from the drop down list and complete items (b), (c) and (d) in respect of the selection. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A02c	Number of clients	This number should total all clients that are of the client "type" selected in (a). Clients where business relationships have ceased, should not be included.
A02d	Value of Assets Held for this Client Category	Insert the US dollar value amount for the sum of all assets under management held in respect of the client "type" selected in (a), most recent value, as at 30 June 2019.
A03	How many Trusts have "Nominee Settlers"?	This category identifies the total number of trusts settled by persons designated to act in place of the true legal owner of the asset being settled.
A03a	Number of Trusts	This number of trusts that meet the specific criteria selected in (b), (c) and (d) of this section.
A03b	Country of Proper Law of the trust	The country originating the expressed governing law of the trust. Select from drop down list.
A03c	Country of Nominee	Country from which the "nominee" is a national. Select from drop down list. If the "nominee" claims multiple nationalities, select the nationality that the "nominee" claims as the primary nationality.
A03d	Country of Settlor	Country from which the "settlor" is a national. Select from drop down list. If the "settlor" claims multiple nationalities, of those select the nationality that the "settlor" claims as the primary nationality.
A04	Natural Persons	A human being. This number should total all active clients of the licensee.

A04a	Country	Jurisdiction in which each "natural person" lives. If the "natural person" lives in multiple jurisdictions, of those select the jurisdiction in which the "natural person" spends most time.
A04b	Number of Clients	This number should total all clients that are "natural persons". Clients where business relationships have ceased, should not be included.
A05	Clients that are companies, countries of incorporation	This section identifies the total number of the licensee's clients that are companies, by country of incorporation. This section also confirms whether those client companies are regulated (whether in Cayman or other jurisdiction).
A05a	Country	Select from the drop down list the country in which the client company(ies) was incorporated.
A05b	Number of clients	Total number of clients, that are companies, that were incorporated in the country selected in (a).
A05c	Regulated	Select from the drop down list the country in which the client company(ies) is regulated. If regulated by more than one country, select the Regulatory that is considered to be the primary Regulator.
A06	Business activities of clients	This select identifies main business activities engaged in by clients.
A06a	Type	Select from the drop down list the type of business engaged in. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A06b	Other (if applicable)	Complete (b) <b>only</b> if none of the options in (a) apply.
A06c	Country	Select from the drop down list the country in which the client company(ies) undertakes the selected activity in (a). If multiple countries, select the country where the activity primarily takes place.
A06d	Number of Clients	This number should total all clients of the licensee engaged in the business activity specified in (a) and the country specified in (c). Clients where business relationships have ceased, should not be included.
A07	Number of UBOs, by country	This number should identify the ultimate beneficial owners of all clients that are not natural persons, by country.
A07a	Number	This number should identify the UBO of all clients that are not natural persons that live in countries listed in (b). If the UBO lives in multiple countries, select the country that the UBO claims as the primary place where he lives.
A07b	Country	Select from the drop-down list the jurisdiction in which each "UBO" lives. If the "UBO" lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the "UBO" lives.
A08	How Many clients have UBO's that are also Senior Managing Officials of the client?	This question does not apply to clients that are natural persons.
A09	How many clients have UBO's that are also shareholders of the client	This question applies to corporate clients.
A10	How many clients have UBO's that are also controllers of the client	This question does not apply to clients that are natural persons.
A11	Number of UBOs, that are trustees, settlors, beneficiaries, enforcers, protectors	Number of natural persons identified by the Licensee as UBOs that also hold one of the following capacities, trustees, settlors, beneficiaries, enforcers, protectors, by country.
A11a	Number	Number of natural persons identified by the Licensee as UBOs that also hold one of the following capacities, trustees, settlors, beneficiaries, enforcers, protectors, in respect of any structure to which or for which the Licensee provides (trust business services) or corporate services.
A11b	Country	Select from the drop-down list the jurisdiction in which each "UBO" lives. If the "UBO" lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the "UBO" lives.
A12	Clients or UBO's that are PEP's by country	Number of clients or UBOs that are identified as politically exposed person(s), by country.

A12a	Number	Number of clients or UBOs that are identified as politically exposed person(s).
A12b	Country	Select from the drop-down list the jurisdiction in which each "UBO" or client lives in respect of any structure to which or for which the Licensee provides (trust business services) or corporate services. If the "UBO" or client lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the "UBO" or client lives.
A13	Clients or UBO's that are HNWIs by country and assets under management	Number of clients or UBOs that are HNWIs by country and assets under management.
A13a	Number	Number of clients or UBOs that are HNWIs that live in the country identified in (b).
A13b	Country	Select from the drop-down list the jurisdiction in which each "UBO" that is a "HNWI" lives. If the "UBO" that is a "HNWI" lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the "UBO" that is a "HNWI" lives.
A13c	Value of Assets Held for this Client Category	Insert the US dollar value amount for the sum of all assets under management, held in respect of UBOs that are "HNWIs" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
A14	Clients or UBO's that are PEPs and HNWIs by country and assets under management	Number of clients or UBOs that are PEPs and HNWIs by country and assets under management.
A14a	Number	Number of clients or UBOs that are PEPs and HNWIs that live in the country identified in (b).
A14b	Country	Select from the drop-down list the jurisdiction in which each "PEP" and "HNWI" lives. If the "PEP" and "HNWIs" lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the "PEP" and "HNWI" lives.
A14c	Value of Assets Held for this Client Category	Insert the US dollar value amount for the sum of all assets under management held in respect of the "PEPs" and "HNWIs" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).most recent value, as at 30 June 2019.
A15	Signatory relationship	
A15a	Type	Select Type from the drop down list.
A15b	Other (if applicable)	Complete (b) <b>only</b> if none of the options in (a) apply.
A15c	Number	This number should total all trust clients in this category that have granted signatory authority to an individual of the type selected in (a). Signatory authority refers to the signing power in relation to trust assets , whereby the authorized party may: 1) authorize payment(s) out of the assets of the trust fund, or 2) allocation of the assets within a trust fund.
A16	To how many trusts does the licensee act as trustee?	
A16a	Number of Trusts	Enter the total number of Trust to whereby either the Settlor or Beneficiary or both are nationals of the country stated in (b).
A16b	Country of Residence [Settlor and/or Beneficiary(ies)]	Select countries of nationality of Settlers/Beneficiaries. If the Settlor or Beneficiary has multiple nationalities, for purposes of this question use nationality of birth.
<b>Of those for which it is a trustee, please provide details...</b>		
A17	Country of Proper Law of Trusts	The country originating the expressed governing law of the trust. Select from drop down list.
A17a	Type	Select from the drop down list the type of trust for which the licensee acts as trustee.
A17b	Country of Proper Law of Trusts	Select from the drop down list the country of Proper Law of the Trust.

A17c	Number of Trusts	The total number of trust meeting the criteria specified in (a) and (b).
A17d	Value of assets Held	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of trusts identified in (c). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
A18	Country of Settlor/Beneficiary(ies)	
A18a	Type	Select from the drop down list the type of trust to which the values in (b), (c), (d) and (e) will apply. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple types, as applicable.</b>
A18b	Settlor/Beneficiary(ies)	Select from the drop down list whether the values in (c), (d) and (e) will be provided for all Settlers or Beneficiaries.
A18c	Country of Settlor/Beneficiary(ies)	Select countries of nationality of Settlers/Beneficiaries. If the Settlor or Beneficiary has multiple nationalities, for purposes of this question use nationality of birth.
A18d	Number of Trusts	The total number of trust meeting the criteria specified in (a) and (b).
A18e	Value of Assets Held	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of trusts identified in (d). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
A19	Location of Assets	
A19a	Type	Select from the drop down list the type of trust to which the values in (b) and (c) will apply. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple types, as applicable.</b>
A19b	Location of Assets	Select from the drop down list the country in which assets are physically located, In respect of cash at bank, country in which bank account is held. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple types, as applicable.</b>
A19c	Value of Assets Held	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of trusts identified in (c). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
<b>TCSP</b>		
A20	How many companies does the licensee have under management?	
A20a	Country of ultimate beneficial owners	Select countries of nationality of ultimate beneficial owners. If the ultimate beneficiary has multiple nationalities, for purposes of this question use nationality of birth.
A20b	Number of Companies	The total number of companies meeting the criteria specified in (a). <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple types, as applicable.</b>
A21	To how many Private Trust Companies does the licensee act as registered office	Provide the total number of companies registered under The Private Trust Companies Regulations, that receive registered office services from the licensee.
<b>CSP</b>		
A22	To how many companies does the licensee provide corporate services?	The number companies the licensee provides corporate services to, by country.
A22a	Number	The total number of companies meeting the criteria specified in (b).
A22b	Country of Residence [Settlor and/or Beneficiary(ies)]	Select countries of nationality of Settlers/Beneficiaries. If the Settlor or Beneficiary has multiple nationalities, for purposes of this question use nationality of birth. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple types, as applicable.</b>
A23	How many client companies use nominee shareholders	The number companies that receive corporate serves from the licensee that have ownership structures which utilize the licensee or its subsidiaries to act as nominee shareholder, by country.
A23a	Number	The number companies that receive corporate services from the licensee that have ownership structures which utilize nominee shareholders (whether or not those nominee shareholders are provide by the licensee).

A23b	Nationality	Select countries of nationality of Nominees. If the Nominee has multiple nationalities, for purposes of this question use nationality of birth. In case of corporate nominees use country of incorporation.
<b>Of those companies to which it provides corporate services, how many are...</b>		
A24	Companies not incorporated or registered in the Cayman Islands	Number of clients companies that receive services from the licensee that are incorporated or registered in countries outside of the Cayman Islands.
A24a	Value of Assets Held for this Client Category	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of companies identified in (b). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
A24b	Number of clients	This number should total all active clients/customers in this category. Clients/customers where business relationships have ceased, should not be included.
A24c	Country	Select from the drop-down list the country in which each client company was incorporated or registered.
A25	Number of clients/companies that are regulated	Number of clients/companies that are regulated in any jurisdiction.
A25a	Number of clients	This number should total all clients in this category, relevant to the "Type" selected in (a). Clients where business relationships have ceased, should not be included.
A25b	Country	Select from the drop-down list the jurisdiction in which clients, or the clients' vehicles which receive services from the licensee, live or are incorporated. If client lives in multiple jurisdictions, of those, select the jurisdiction which the Licensee has selected as the place in which the client live.
A26	Business activities of clients	This select identifies main business activities engaged in by clients.
A26a	Type	Select from the drop down list the type of business engaged in. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A26b	Other (if applicable)	Complete (b) <b>only</b> if none of the options in (a) apply.
A26c	Country	Select from the drop down list the country in which the client company(ies) undertakes the selected activity in (a). If multiple countries, select the country where the activity primarily takes place.
A26d	Number of clients	This number should total all clients in this category, relevant to the "Type" selected in (a). Clients where business relationships have ceased, should not be included.
A27	With respect to UBO	
A27a	Type	Select from the drop down list the type of company. <b>The dropdown + sign to the left hand side of the page, allows the licensee to make new entries to the form in respect of new "Types" or "Countries" of UBOs.</b>
A27b	Country of UBO	Select country of nationality of UBOs for the selected "Type". If the UBO has multiple nationalities, for purposes of this question use nationality of birth. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A27c	Number of Companies	This number should total all companies in this category, relevant to the "Type" selected in (a) and "Country of UBO" selected in (b) Clients where business relationships have ceased, should not be included.
A27d	Value of Assets Held	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of companies identified in (c). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
A28	How many clients have UBOs that are also senior officials of the client?	Provide total.
A29	How many clients have UBOs that are also shareholders of the client?	Provide total.
A30	How many clients have UBOs that are also controllers of the client?	Provide total.
A31	Clients or UBOs that are PEPs by country	Number of clients or UBOs that are identified as politically exposed person(s), by country.

A31a	Number	This number should total all clients in this category, relevant to the "Country" selected in (b). Clients where business relationships have ceased, should not be included.
A31b	Country	Select country of nationality of UBOs that are PEPs. If the UBO has multiple nationalities, for purposes of this question use nationality of birth. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A32	Clients or UBOs that are HNWIs by country	Number of clients or UBOs that are identified as HNWIs, by country.
A32a	Number	This number should total all clients in this category, relevant to the "Country" selected in (b). Clients where business relationships have ceased, should not be included.
A32b	Country	Select country of nationality of UBOs that are HNWIs. If the UBO has multiple nationalities, for purposes of this question use nationality of birth. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A33	Clients or UBOs that are PEPs and HNWIs by country	Number of clients or UBOs that are identified as politically exposed person(s) and HNWIs, by country.
A33a	Number	This number should total all clients in this category, relevant to the "Country" selected in (b). Clients where business relationships have ceased, should not be included.
A33b	Country	Select country of nationality of UBOs that are PEPs and HNWIs. If the UBO has multiple nationalities, for purposes of this question use nationality of birth. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple jurisdictions when more than one is applicable for this category, throughout this form.</b>
A34	Signatory relationship	
A34a	Type	Select Type from the drop down list.
A34b	Other (if applicable)	Complete (b) <b>only</b> if none of the options in (a) apply.
A34c	Number	This number should total all corporate services clients in this category that have granted signatory authority to an individual of the type selected in (a). Signatory authority refers to the signing power in relation to trust assets , whereby the authorized party may: 1) authorize payment(s) out of the assets of the managed company, or 2) allocation of the assets within a managed company.
A35	With respect of Nature of Business	
A35a	Nature of Business	Select Type from the drop down list.
A35b	Other (If applicable)	Complete (b) <b>only</b> if none of the options in (a) apply.
A35c	Type	Select from the drop down list the type of company. <b>The dropdown + sign to the left hand side of the page, allows the licensee to make new entries to the form in respect of "Nature of Business" of the client companies.</b>
A35d	Country of Operations	
A35e	Number of Companies	

A35f	Value of Assets Held	Insert the US dollar value amount for the sum of all assets under management, held in respect the total number of companies identified in (e). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most
<b>B - Distribution Channel Risk</b>		
<b>Organizational Structure:</b>		
B01	In which countries are the licensee's parent company(ies) located?	Select from the drop down list all the countries in which the companies in the licensee's ownership structure have been incorporated or registered as a company. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.</b>
B02	In which countries are the licensee's subsidiaries and/or branches located?	Select from the drop down list all the countries in which subsidiaries of the licensee are incorporated. Also select from the drop down list any countries in which the licensee has established a branch or operating office, whether or not the trading name is identical to that of the licensee. A company shall be treated as a subsidiary of the licensee where - (a) the licensee is a member of the subsidiary and controls the composition of the subsidiary's board of directors; (b) the licensee, directly or indirectly, controls more than half of the votes which may be cast at general meetings of the subsidiary; or (c) the subsidiary is a subsidiary of any other company which is itself a subsidiary of the licensee. The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.
B03	In which countries are the licensee's affiliates located?	Select from the drop down list all the countries in which companies sharing a common group ownership structure with the licensee are incorporated. A company shall be treated as an affiliate of the licensee where - (a) the licensee is a member of the company but does not control the composition of the company's board of directors; (b) the licensee, directly or indirectly, controls less than half of the votes which may be cast at general meetings of the company; or (c) the company shares common parent(s) with the licensee. The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.
B04	In which countries, by percentage of equity ownership, are the shareholders of the licensee located? For publicly listed entities please list beneficial ownership of 10% or more.	
B04a	Country	Select from the drop down list all the countries in which the ultimate beneficial owners of the licensee are nationals. For ultimate beneficial with multiple nationalities, select the nationality gained at birth (unless it has been officially renounced, then select the nationality that has been adopted by the shareholder). The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.
B04b	Percentage	Input the percentage relevant to the country selection in (a). Upon completion of this section percentages should total 100%.
<b>Online Platforms</b>		
B05	Country(ies) where business is taken on	Select from the drop down list all the countries in which the clients of the licensee. In respect of clients that are companies, select the countries where those clients have been incorporated. <b>The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.</b>
B06	Does the licensee accept its clients via online platforms	Confirm whether the Licensee takes on clients online.
B07	What is the domicile (location) and percentage of clients accepted through online platforms (if applicable)	Domicile refers to the place of birth (unless it has been officially renounced, then select the nationality that has been adopted by the client). Select from the drop down list all the countries in which the clients of the licensee. In respect of clients that are companies, select the countries where those clients have been incorporated.
B07a	Country	Select from the drop down list all the countries in which the ultimate beneficial owners of the licensee are nationals. For ultimate beneficials with multiple nationalities, select the nationality gained at birth (unless it has been officially renounced, then select the nationality that has been adopted by the client). The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.
B07b	Percentage of clients	Input the percentage relevant to the country selection in (a). Upon completion of this section percentages should total 100%.
<b>Clients per each distribution channel</b>		

B08	Direct	
B08a	Clients per each distribution channel	Number of clients that are either face to face or non-face to face.
B08b	Face to Face/Non-Face to Face	Select face to face and non-face to face per the value inputted in (a).
B09	Clients by Introducer type	Please select the client "Type", by country.
B09a	Client Type	Please select introducer type from list.
B09b	Country	Select from the drop down list all the countries in which the ultimate beneficial owners of the licensee are nationals. For ultimate beneficials with multiple nationalities, select the nationality gained at birth (unless it has been officially renounced, then select country adopted by the client). The dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable for this category.
B09c	Number of clients	
B10	Introducer Types	Select the introducer "Type", by country.
B10a	Introducer Type	Please select business introducer type from B10.
B10b	Country	Select from the drop down list all the countries of the introducers. For each new introducing company use the dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries when more than one is applicable with respect to (a) and (c).
B10c	Number of Introducers	Number of introducers from the country selected in (b).
B11	Does the licensee place any reliance on introducers within the group?	Select from the drop down list, yes or no.
B12	Locations of Introducers within the group (if applicable)	This section identifies countries from which the Licensee has eligible introducers.
B12a	Country	Select a country from which the Licensee has eligible introducers.
B12b	Eligible introducers per each Country	The number of eligible introducers that the Licensee has in the country specified in (a), that are regulated, If the licensee also has eligible introducers in the same country that are also unregulated use the dropdown + sign to the left hand side of the page, allows the entity to insert multiple countries for the eligible introducers.
B12c	Regulated /Unregulated	Select from the drop down list whether yes or no.
B12d	Percentage of Clients from Eligible introducers in this Country	Input the percentage relevant to the country selection in (a).
B13	Does the licensee place any reliance on third party Introducers (outside the group)?	Select from the drop down list whether yes or no.
B14	Location of third party introducers (if applicable)	This section identifies countries from which the Licensee has eligible introducers.
B14a	Country	Select a country from which the Licensee has eligible introducers.
B14b	Eligible introducers per each Country	Select a country from which the Licensee has eligible introducers.
B14c	Regulated /Unregulated	Select from the drop down list whether yes or no.
B14d	Percentage of Clients from Eligible introduces in this Country	Input the percentage relevant to the country selection in (a).
B15	Nominees	Does the Licensee utilize nominees as a distribution channel?
B15a	Clients per each distribution channel	Number of clients that are either face to face or non-face to face.
B15b	Face to Face/Non-Face to Face	Select face to face and non-face to face per the value inputted in (a).
B15c	Country	Select a country from which the Licensee has eligible introducers.
B16	Other (if applicable)	Does the Licensee utilize any "other" distribution channels?
B16a	Details	Provide details for the clients that fall under the "Other" category.
B16b	Clients per each distribution channel	Number of "Other clients" per country for (a) and (c).
B16c	Face to Face /Non-Face to Face	Select face to face and non-face to face per the value inputted in (b).
B16d	Country	Select from the drop down list all the countries for distribution channel selected per (b).



B16e	Regulated/Unregulated	Select from the drop down list, whether regulated or unregulated.
B17	What functions does the licensee outsource to a 3rd Party and where is the 3rd Party located?	Confirm the details in (a), (c ), (d) and € in respect of each "Type" in (b), as may be applicable. Selection of each "Type" represents that the Licensee outsources that particular function. Should the Licensee outsource a function not listed in (b), please identify that function in (c ) and complete (d), (e) and (a) as appropriate.
B17a	Number of 3rd Parties	Specify the countries from which the Licensee has an arrangement for 3rd Party outsourcing.
B17b	Type	Confirm which "Type" in (b)
B17c	Type (if Other)	If "Other", specify the "Type"
B17d	Country of 3rd Party	Select from the drop down list all the countries for distribution channel selected per (b).
B17e	Is the 3rd Party regulated?	Select from the drop down list, whether regulated or unregulated.
B18	What functions does the licensee outsource to a group entity and where is the group entity located?	Confirm the details in (a), (c ), (d) and (e ) in respect of each "Type" in (b), as may be applicable. Selection of each "Type" represents that the Licensee outsources that particular function. Should the Licensee outsource a function not listed in (b), please identify that function in (c ) and complete (d), (e) and (a) as appropriate.
B18a	Number of group entities	Confirm the number of group entities to which the Licensee outsources
B18b	Type	Confirm which "Type" in (b)
B18c	Type (if Other)	If "Other", specify the "Type"
B18d	Country of group entities	Select from the drop down list all the countries for distribution channel selected per (b).
B18e	Is the 3rd Party regulated?	Confirm yes or no.
<b>C - Products and Services Risks</b>		
<b>Types of Services</b>		
C01	Trust Services	
C01a	Type	Select Type from the drop down list. For each type confirm in (b) whether the selected type is a core business activity of the licensee. Also confirm the assets under management with the licensee for the chosen "Type" in (d). A licensee can have multiple primary services.
C01b	Primary	Select yes, if the activity type is the primary service offered by the licensee. Select no, if the activity type in the drop down list is not a service offered by the Licensee. Primary services are those that are promoted as the core business offerings of a licensee.
C01c	Secondary	Select yes, if the activity type is undertaken by the licensee but: 1) is considered to be ancillary to a core activity; or 2) not considered to be a core business activity of the licensee's.
C0d	Assets Under Management	Insert the US dollar value amount for the sum of all assets under management, held in respect the activity "Type" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
C02	Corporate Services	For the purpose of this question provision of corporate services is define in Section 3(1) of the Companies Management Law (2018 Revision).
C02a	Type	Select Type from the drop down list. For each type confirm in (b) whether the selected type is a core business activity of the licensee. Also confirm the assets under management with the licensee for the
C02b	Primary	Select yes, if the activity type is the primary service offered by the licensee. Select no, if the activity type in the drop down list is not a service offered by the Licensee. Primary services are those that are promoted as the core business offerings of a licensee.
C02c	Secondary	Select yes, if the activity type is undertaken by the licensee but: 1) is considered to be ancillary to a core activity; or 2) not considered to be a core business activity of the licensee's.
C02d	Assets Under Management	Insert the US dollar value amount for the sum of all assets under management, held in respect the activity "Type" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).

C03	Other Services	Select Type from the drop down list. For each type confirm in (b) whether the selected type is a core business activity of the licensee. Also confirm the assets under management with the licensee for the chosen "Type" in (d). A licensee can have multiple primary services.
C03a	Type	Select yes, if the activity type is the primary service offered by the licensee. Select no, if the activity type in the drop down list is not a service offered by the Licensee. Primary services are those that are promoted as the core business offerings of a licensee.
C03b	Primary	Select yes, if the activity type is undertaken by the licensee but: 1) is considered to be ancillary to a core activity; or 2) not considered to be a core business activity of the licensee's.
C03c	Secondary	Insert the US dollar value amount for the sum of all assets under management, held in respect the activity "Type" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
C03d	Assets Under Management	Insert the US dollar value amount for the sum of all assets under management, held in respect the activity "Type" selected in (a). For purposes of this section values used should be as at 30 June 2019 (if no valuation as at 30 June 2019, use value on most recent valuation).
C04	Assets held directly	The sum of the value of any assets held directly by the licensee in US dollar value.
















