



## SECURITIES COMMISSION OF THE BAHAMAS

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### DIGITAL ASSETS AND REGISTERED EXCHANGES ACT, 2020 PART A

#### FORM 3 (Section 8)

#### Application for Registration as CEO or Compliance Officer of Digital Asset Business

**General Instructions:**

Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced in the form with the reference index also attached.

Completed applications should be submitted to:

**Supervision Department**

Securities Commission of The Bahamas  
Poinciana House North Building,  
2nd Floor 31A East Bay Street  
P.O. Box N-8347  
Nassau, The Bahamas

Or via email to: [SUDfilings@scb.gov.bs](mailto:SUDfilings@scb.gov.bs)

### Form 3

#### Application for Registration as CEO or Compliance Officer of Digital Asset Business

##### General Instructions:

If insufficient space is provided, please attach a separate sheet of paper. **WARNING:**  
Intentional misstatement or failure to disclose information may constitute an offence.

| <b>A. Personal Details</b>   |  |
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| 1. Name of the registered person (firm, marketplace, etc.) in connection with which this questionnaire is being completed. |  |
| 2. Full legal name of representative:<br>Surname, Given names.   |  |
| 3. List any previous names of the Applicant.   |  |
| 4. Indicate role(S) for which representative is applying   | CEO ( <input type="checkbox"/> ) Compliance Officer: ( <input type="checkbox"/> ) Other ( <input type="checkbox"/> )             |
| 5. Indicate if this is an application for reinstatement of a previous registration   | No ( <input type="checkbox"/> )<br>Yes ( <input type="checkbox"/> ) (if yes, attach full details)                                |
| 6. Home address  |  |
| 7. Previous home addresses during the last ten years (with relevant dates)   | Previous Address 1:<br>Date at this Address:<br><br>Previous Address 2:<br>Date at this Address:<br><br>Additional as applicable |

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| 8. Date of Birth Place of birth<br>(including town, state and country)  |  |
| 9. Citizenship  | Bahamas ( )<br>Other ( ), please specify:  |
| 10. Identification number (Passport No.,<br>Number: Voters Registration No.,<br>National Identification No., Social<br>Security No., Type: Tax Identification No.<br>or specify other type_   | Identification No:<br>Identification Type: |
| <b>B. Employment &amp; Education History</b>  |  |
| 11. Present occupation or employment<br>including:<br>i. the name and address of the employer<br>ii. the nature of business<br>iii. title of position held, and<br>iv. relevant start date<br><br>For each employer, provide the name,<br>position & telephone number of a<br>reference   |  |
| 12. Prior occupations and employment<br>during the last ten years, including:<br>i. the name and address of the employer<br>ii. the nature of business<br>iii. title of position held, and<br>iv. relevant dates (leave no period<br>unaccounted for).<br><br>For each employer, provide the name,<br>position & telephone number of a<br>reference |  |

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| <p>13. List companies of which the Applicant is: (a) Current director or holding significant interest holder</p> <p>(b) has been a director or significant interest holder at any time during the last ten years</p> <p>(Specify the name of the entity, the country of incorporation, and the nature of business in each case)</p> <p>*Significant interest as defined in section 2 of the Bill.</p> | <p>(a) Current director or holding significant interest</p> <p>(b) has been a director or significant interest holder at any time during the last ten years</p> |
| <p>14. Describe the formal education or training the applicant has in digital asset business (including professional qualifications or degrees and year in which they were obtained).</p>   | <p>Please provide evidence of status with any professional membership indicated.</p>  |
| <p>15. Are you or have you ever been a director, officer, held significant interest holder, or been an employee of any other entity registered with the Commission?</p>   | <p>No ( )</p> <p>Yes ( ) If yes, please provide full details.</p>   |
| <p>16. Have you been licensed or registered to work in a similar capacity in any other</p>  | <p>No ( )</p>   |

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| jurisdiction?   | Yes ( ) (if yes, attach full details, including copy of evidence of such registration or license) |
| <b>C. Discipline History</b>  |   |
| 17. Have you or any person with which you were associated as a director, manager, officer or significant interest holder, in any jurisdiction, been disciplined by any stock exchange, securities regulatory body or professional association or been denied admission, registration or renewal or had a membership or registration revoked?              | No ( )<br>Yes ( ) (if yes, attach full details)   |
| 18. Have you or any person with which you were associated as a director, manager, officer or significant interest holder, in any jurisdiction, ever been declared bankrupt, been convicted of a crime or been sued under any commercial law, securities law, companies law or law concerning fraud?   | No ( )<br>Yes ( ) (if yes, attach full details)   |
| 19. Have you at any time been involved with an application for regulatory approval in any jurisdiction where that application has been refused or withdrawn?  | No ( )<br>Yes ( ) (if yes, attach full details)   |
| 20. Have you, in any jurisdiction, been dismissed from any office or employment or barred from entry to any profession or occupation?   | No ( )<br>Yes ( ) (if yes, attach full details)   |
| 21. Has any person with which you were associated as a director, manager, officer or significant interest holder, in any jurisdiction been compulsorily wound up or made any arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while | No ( )<br>Yes ( ) (if yes, attach full details)   |

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| you were associated with it or within one year after you ceased to be associated with it?                 |   |
| 22. In carrying out your duties will you be acting on the directions or instructions of any other person? | No ( )<br>Yes ( ) (if yes, attach full details) |

|              |                                |
|--------------|--------------------------------|
| <b>Date:</b> | <b>Signature of applicant:</b> |
|--------------|--------------------------------|

*"I, the undersigned, hereby affirm that to the best of my information, knowledge and belief the contents of this form and any attachments provided with this form are true, correct and not misleading and that I am in compliance with all the applicable provisions of the Act. I undertake that as long as I continue to be a director, significant interest holder, manager, or officer of the registered person named in item 1, I will*

- i. Continue to comply with all the applicable provisions of the Act, and*
- ii. Notify the Commission immediately of any material changes affecting the completeness of the answers to any of the questions above.*

*"I also hereby authorize the Commission to make such enquiries and seek such further information as it thinks appropriate in verifying the information given in this Personal Questionnaire, or in any other documents submitted as part of this application, for the purposes of performing its due diligence and background checks. I understand that the results of these checks may be disclosed to the person who submitted this application."*

|  |                   |
|--|-------------------|
| Provide Intended Date of Employment of the applicant:  |                   |
| <i>Notice: The Registered Digital Asset Business is required to give immediate notice to the Commission if the Applicant does not commence employment with the Digital Asset Business on the date above.</i> |                   |
| Authorisation from Chief Executive Officer (or equivalent) or Director of Registered Digital Asset Business  |                   |
| <b>Date</b>  | <b>Signature:</b> |
|  | <b>Title:</b>     |

● **other documents to be attached:**

1. A copy of Work Permit or Permanent Residence Permit (for Non-Bahamian citizens).
2. A copy of the relevant pages of the applicant's passport (to include name, date of birth, nationality, signature, expiration date and photograph).
3. Applicant's current Police Certificate (not more than three months old) or an affidavit in acceptable form, from both applicant's home country and The Bahamas (if currently residing in The Bahamas) if the Police Certificate is not available.
4. Two recent photographs of Applicant, individually signed on the back by the Applicant.
5. Copy of any relevant degree, educational courses passed, and professional qualifications.
6. An application fee to be submitted with this application as prescribed.