

FSC Ref:



**FINANCIAL SUPERVISION COMMISSION**  
**FIDUCIARY SERVICES ACT 2000 AND 2005**

**ANNUAL COMPLIANCE RETURN**  
**(Form for Category 2 Licenceholders)**

*Completed Annual Compliance Return together with any supporting material should be sent to your Relationship Manager at:-*

*Financial Supervision Commission  
P O Box 58  
Finch Hill House  
Bucks Road  
Douglas  
Isle of Man IM99 1DT*

## **ANNUAL COMPLIANCE RETURN- GUIDANCE NOTES**

Please read the questions carefully before completing this return. If more space is needed the answers should be written on a separate sheet of paper with the heading "Continuation of Answer to Question .....". Answers should be written in ink in **BLOCK CAPITALS or typed**.

The staff of the Commission are available to be consulted on a formal or an informal basis and will try to give appropriate guidance where it is sought. Please contact your Relationship Manager at the Commission in the first instance. However, in order that the role of the staff of the Commission is not misunderstood, the Commission wishes to emphasise that:-

- (i) the preparation and submission of the annual compliance return is the responsibility of the licenceholder; and,
- (ii) it is for the licenceholder to seek legal advice where they feel it to be appropriate.

**It should be noted that by virtue of Section 20 of the Corporate Service Providers Act 2000 ("the Act") a person commits an offence if he knowingly or recklessly gives any information which is false in a material particular. Any person guilty of an offence under any provision of the Act (except 9(5)) shall be liable:-**

- (a) on summary conviction, to a fine not exceeding £5,000 or to a term of custody not exceeding 6 months, or to both; and,
- (b) on conviction on indictment, to a fine or to a term of custody not exceeding 2 years, or to both.

**Financial Supervision Commission  
December 2005**

**OTHER DOCUMENTATION WHICH FORMS PART OF  
THIS RETURN**

The following documents should accompany this return:

1. **Professional Indemnity Insurance Policy:** A copy of the most recent Professional Indemnity Insurance policy taken out by the licenceholder in compliance with paragraph 18 of the Fiduciary Services Providers (General Requirements) Regulatory Code 2005 ("the Code"). *(Note: If a copy of the Policy is not available, then a statement from your Broker, addressed to the Commission, as detailed in the guidance note to paragraph 18, containing details of services covered, the minimum cover, and excess payable will suffice).*
  
2. **Declaration of Compliance:** A signed Declaration in the format provided in Appendix 1 to this return

Document Attached

**FINANCIAL SUPERVISION COMMISSION**

**ANNUAL COMPLIANCE RETURN**

<b>1. Details of Licenceholder:</b>	
Name of Licenceholder:	
Date of Return:	
Address:	
Business Address in the Isle of Man (if different from above):	
Telephone Number:	
Fax Number:	
Website:	
E-Mail:	

<b>2. Complaints.</b>  Please state how many complaints have been logged during the year in compliance with paragraph 15 of the Code.

<b>3 A. In relation to CSP activities:</b>	
As at the date of this return, please state: -	
(1) the number of companies of which the licenceholder is a director	
(2) the number of Isle of Man incorporated client companies	
(3) the number of overseas client companies not registered under Part XI of the e Companies Act 1931	
(4) the number of overseas client companies registered under Part XI of the Companies Act 1931 (commonly referred to as the "F Register").	
<b>3 B. In relation to TSP activities:</b>	
As at the date of this return, please state the number of trusts to which the licenceholder provides regulated activities.	

I confirm that the information provided in this return is complete and correct to the best of my knowledge and belief.

Signature : \_\_\_\_\_

Name (Print) : \_\_\_\_\_

Date : \_\_\_\_\_

DECLARATION OF COMPLIANCE

Name of Licenceholder \_\_\_\_\_

Date on which declaration is made \_\_\_\_\_

I hereby declare that during the past twelve months, the \* Fiduciary Service Provider, Corporate Service Provider, Trust Service Provider business in which I am engaged, has been conducted in accordance with:-

- (a) the Regulatory Codes;
- (b) any licence conditions imposed by the Financial Supervision Commission (if applicable);  
and,
- (c) any recommendations or directions issued by the Financial Supervision Commission (if applicable),

\* Delete as applicable

**AND THAT** the Financial Supervision Commission has been notified of all relevant matters as detailed in paragraph 13 of the Corporate Service Providers (General Requirements) Regulatory Code 2005.

Signature . \_\_\_\_\_

Name (Print) . \_\_\_\_\_

Date \_\_\_\_\_

It should be noted that by virtue of Section 20 of the Corporate Service Providers Act 2000 ("the Act") a person commits an offence if he knowingly or recklessly gives any information which is false in a material particular. Any person guilty of an offence under any provision of the Act (except 9(5)) shall be liable:-

- (a) on summary conviction, to a fine not exceeding £5,000 or to a term of custody not exceeding 6 months, or to both; and,
- (b) on conviction on information, to a fine or to a term of custody not exceeding 2 years, or to both.