



## **FITNESS AND PROPRIETY DECLARATION FORM For Firms Conducting Relevant Financial Business**

(March 2026)

The Legal Services Supervisory Authority (“LSSA”) is the delegated Supervisory Authority for firms of attorneys-at-law<sup>1</sup> that engage in or assist other persons in the planning or execution of relevant financial business pursuant to Regulation 55B(c) of the Anti-Money Laundering Regulations (2025 Revision) (“AMLRs”) and section 5(3) of the Legal Services Act, 2020 Revision.

This Declaration is required for the purposes of Part 12 A and Regulation 55H of the AMLRs.

**This Declaration must be completed by sole practitioners conducting relevant financial business and by all connected persons<sup>2</sup> of firms of attorneys-at-law conducting relevant financial business.**

For further information, please refer to the **Guidance Notes on Fit and Proper Person Requirements pursuant to the Anti-Money Laundering Regulations (2025 Revision)**.

### **Part I - Personal Details**

1. Full name (First, Middle and Surname)	
2. Date of Birth	
3. Country of Birth	
4. Citizenship	
5. Address (Residential and Mailing)	
6. Email Address	

<sup>1</sup> As per the AMLRs, firm of attorney at law means (i) a body corporate, association, partnership or limited liability partnership of attorneys who are admitted to practice law in the Islands; or (ii) an attorney admitted to practice law in the Islands who is in independent practice as a sole proprietor or who provides legal services to an employer other than the Government.

<sup>2</sup> As defined in Regulation 2 of the AMLRs.



7. Contact Number	
8. Name of Firm of Attorney-at-Law	
9. Position/ Role	

### Part II – Supporting Documentation

All sole practitioners conducting relevant financial business and all connected persons are required to submit the following supporting documents together with this completed Fitness and Propriety Declaration Form. All documents must be current, clear, and legible.

1. A certified copy of a valid government-issued identification document (e.g. passport or driver’s license);
2. Proof of residential address (e.g. utility bill or bank statement issued within the last three months); and
3. A police clearance certificate issued no more than six months prior to submission.

### Part III - Declaration

If you answer “Yes” to any of the questions hereunder, full particulars should be given on a separate sheet and cross-referenced to the appropriate question.

1. Have you ever been convicted of any offence (other than minor traffic offences), in the Cayman Islands or any other jurisdictions? **Yes**  / **No**
2. Have you ever been connected with a company, partnership or other organisation that has been refused registration, authorisation, membership or a licence to carry out a trade, business or profession, or has had that registration, authorisation, membership or licence revoked, withdrawn or terminated, or has been expelled by a regulatory or government body in any jurisdiction? **Yes**  / **No**
3. Is there any outstanding civil litigation against you (including in your capacity as a trustee of a trust) or any company of which you are/were a connected person? **Yes**  / **No**



4. Have you ever, at any time, been the subject of an investigation in relation to a financial institution or Designated Non-Financial Business and Profession<sup>3</sup>? **Yes**  / **No**
5. Have you or any business you have been involved with, been investigated, disciplined, censured, suspended or criticized by a regulatory or professional body, court or tribunal, whether publicly or privately? **Yes**  / **No**
6. Have you ever held a practising certificate that was revoked, suspended or subject to conditions? **Yes**  / **No**
7. Have you ever been dismissed or asked to resign from employment from a position of trust, fiduciary appointment or similar? **Yes**  / **No**
8. Have you ever been required to give evidence in any trial or proceedings involving fraud, dishonesty or similar matters, other than as an expert witness? **Yes**  / **No**
9. Have you acted as a connected person in relation to a firm that has been involved in liquidation, other than in a capacity of providing professional services? **Yes**  / **No**
10. Have you, or any body corporate, trust, partnership or unincorporated institution with which you are, or have been associated as a director, shareholder, manager, officer, controller, or trustee, been the subject of an investigation, anywhere, by a governmental, professional or other regulatory body? **Yes**  / **No**
11. Have you, in the Cayman Islands or anywhere else, been suspended, placed on required leave or dismissed from any office or employment or barred from entry to any profession or occupation? **Yes**  / **No**
12. Have you ever been disqualified, prohibited or restricted in the Cayman Islands or in any other jurisdiction, from acting as a director, manager, or otherwise being involved in the management or conduct of the affairs of any company, partnership, trust or unincorporated association? **Yes**  / **No**
13. Have you ever been declared bankrupt by a court or are you the subject of any bankruptcy proceedings in any jurisdiction? **Yes**  / **No**
14. Have you failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a court in any jurisdiction? **Yes**  / **No**

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<sup>3</sup> natural or legal person designated under regulation 55A of the AMLRs.



15. Have you, in connection with the formation, control or management of a body corporate, partnership, unincorporated institution, or in connection with acting as trustee of a trust been adjudged by a court, in any jurisdiction, civilly or criminally liable for any fraud, misfeasance or other misconduct? **Yes**  / **No**
16. Has any body corporate, partnership or unincorporated institution with which you were connected as a director, shareholder, manager, officer or controller, in the Cayman Islands or anywhere else, been compulsorily wound up or made any compromise or 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 you were connected with it or within one year after you ceased to be connected with it? **Yes**  / **No**
17. Has any body corporate, partnership or unincorporated institution with which you were associated as a director, shareholder, manager, officer or controller, anywhere, had its authorisation revoked? **Yes**  / **No**
18. In carrying out your duties will you be acting on the directions or instructions of any other person? **Yes**  / **No**
19. Have you ever been, or are you currently, a politically exposed person (PEP)<sup>4</sup>, or a family member<sup>5</sup> or a close associate<sup>6</sup> of such a person? **Yes**  / **No**

I hereby CERTIFY that the above information is true and correct to the best of my knowledge and belief.

I undertake to notify the Legal Services Supervisory Authority of any material change affecting the completeness of the above questions no later than thirty (30) days after the date on which the change occurs.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

<sup>5</sup> Family member includes the spouse, civil partner, parent, sibling or child of a politically exposed person.

<sup>6</sup> Close associate means any natural person who is known to hold the ownership or control of a legal instrument or person jointly with a politically exposed person, or who maintains some other kind of close business or personal relationship with a politically exposed person.



Legal Services  
Supervisory  
Authority

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Date