

REPUBLIC OF TRINIDAD AND TOBAGO

THE TRUSTEE ORDINANCE, CH. 4 OF 1939

(Section 10C)

FORM 3

STATEMENT IN RESPECT OF BENEFICIAL OWNERSHIP STATUS

Where the information is required to be set out in relation to more than one party in an Item below, additional tables may be added or alternatively schedules may be incorporated into the form.

1. Party who is an Individual -

1.1. Particulars of the party -

Role within the Trust/Legal Arrangement	
Name	
Address	
Nationality	
Occupation	
Form of Identification	
Identification Number	
Country of Issue	
Expiry Date	

1.2. Beneficial Owner Status -

I, the above named at Item 1.1, confirm that -
(Select the option that is applicable)

- I **am** a beneficial owner of the trust/legal arrangement, for the following reasons:

- I **am not** a beneficial owner of the trust/legal arrangement and, the following person is a beneficial owner of the trust/legal arrangement on the basis indicated:

Name	
Address	
Nationality	
Occupation	
Nature of Beneficial Interest	

2. Party who is a legal person

2.1. Particulars of the party to the trust/legal arrangement who is a legal person (company) and particulars of a Director or Secretary of the said company -

Role within the Trust/ Legal Arrangement	
Corporate Name	
Company Number	
Registered Office Address	
Jurisdiction of Incorporation/Formation	
Status	

Name of Officer of the Company			
Title of Officer of the Company	Director		Secretary
Form of Identification			
Identification Number			
Country of Issue			
Expiry Date			

2.2. Beneficial Owner Status -

I, the above named at Item 2.1, confirm that the following person(s) are the beneficial owner(s) of the trust/legal arrangement, as identified pursuant to Part VA of the Companies Act Chap. 81:01:

Name	
Address	
Nationality	
Occupation	
Nature of Beneficial Interest	

3. Party who is a legal arrangement -

3.1. Particulars of the party to the trust who is a legal arrangement and particulars of a trustee/administrator of the legal arrangement -

Role within the Trust/ Legal Arrangement	
Trustee(s)/Administrator	
Settlor(s)/ Equivalent Position	
Protector(s)/ Equivalent Position	
Beneficiary(ies)/class(es) of	

beneficiaries/ Equivalent Position	
Type of legal arrangement	<input type="radio"/> Trust <input type="radio"/> Other form of legal arrangement: _____ (State the type of legal arrangement)
Governing Jurisdiction	

Name of Trustee/ Administrator	
Role	Trustee Administrator
Form of Identification	
Identification Number	
Country of Issue	
Expiry Date	

3.2. Beneficial Owner Status -

I, the above-named at Item 3.1, confirm that the following person(s) are the beneficial owner(s) of the trust/legal arrangement, as identified pursuant to Part IIA of the Trustee Ordinance, Ch. 4 of 1939 –

Name	
Address	
Nationality	
Occupation	
Nature of Beneficial Interest	

4. Individuals who are not parties but are beneficial owners of the trust/legal arrangement

4.1. Particulars of beneficial owner -

Name	
Address	
Nationality	
Occupation	
Form of Identification	
Identification Number	
Country of Issue	
Expiry Date	

4.2. Beneficial Owner Status:

I, the above-named, confirm that I **am** a beneficial owner of the trust/legal arrangement, for the following reason(s)/on the following basis:

Dated the _____ day of _____, _____.

Name:

Title:

THE TRUSTEE ORDINANCE, CH. 4 OF 1939
Form 3
STATEMENT IN RESPECT OF BENEFICIAL OWNERSHIP STATUS
BY PARTIES TO THE TRUST LEGAL ARRANGEMENT

Instructions

Note: Please only complete the Items of the form that are applicable. A party to the trust (e.g. Trustee) who is a natural person should only complete Item 1 (inclusive of 1.1 and 1.2).

Format

Documents required to be sent to the Registrar pursuant to the Act must conform to regulation 2 of the Regulations under the Ordinance.

Item 1 ***Only applicable to Parties to the Trust/Legal Arrangement who are natural persons***

Item 1.1

With respect to a party who is an individual, state -

- (a) role within the trust/legal arrangement;
- (b) first name(s), middle name(s) and surname(s);
- (c) address including the building number and, if a multi-unit building, unit number;
- (d) the nationality;
- (e) occupation/calling. In the case of a natural person who has no business occupation, state “Not applicable” or “N/A”; and
- (f) form of identification, associated number, country of issue, and expiry date.

Item 1.2

The beneficial owner status must be included -

- (a) if individual is a beneficial owner, state reasons why individual is a beneficial owner;
- (b) if individual is not a beneficial owner, state the following for the beneficial owner -
 - first name (s), middle name (s) and surname (s);
 - address including the building number and, if a multi-unit building, unit number;
 - the nationality;
 - occupation/calling. In the case of a natural person who has no business occupation, state “Not applicable” or “N/A”; and
 - the nature of beneficial interest.

Item 2 ***Only applicable to Parties to the Trust/Legal Arrangement who are legal persons (companies)***

Item 2.1

With respect to a party who is a legal person (company), state -

- (a) role within the trust/legal arrangement;
- (b) the full registered name and number of the company;
- (c) the registered office of company, including the building number and, if a multi-unit building, unit number;
- (d) the jurisdiction of incorporation/formation e.g. “incorporated under the laws of Trinidad and Tobago (or elsewhere); and
- (e) the status of the company e.g., “corporation/limited or unlimited liability company” (if a corporation).

With respect to Director/Secretary of a company, state -

- (a) the first name(s), middle name(s) and surname(s) of officer of the company;
- (b) the role of officer within the company (whether Director or Secretary); and
- (c) a form of identification, associated number, country of issue and expiry date.

Item 2.2

The beneficial owner status must be included -

- (a) State the following particulars for the natural person(s) who is/are the beneficial owner(s):
 - first name(s), middle name(s) and surname(s);
 - address including the building number and, if a multi-unit building, unit number;
 - the nationality;

 - occupation/calling. In the case of a natural person who has no business occupation state “Not applicable” or “N/A”; and
 - the nature of beneficial interest.

Item 3

Only applicable to Parties to the Trust/Legal Arrangement who are legal arrangements (e.g. where a trust is trustee of another trust)

Item 3.1

With respect to a party to the trust who is a legal arrangement, the trustee/administrator of the legal arrangement -

- (a) state role within the trust/legal arrangement;
- (b) for Trustee(s)/Administrator, Settlor(s)/Equivalent Position, Protector(s)/Equivalent Position, Beneficiary(ies)/class(es) of beneficiaries/Equivalent Position: State first name(s), middle name(s) and surname(s) (if a natural person) or registered name (if a corporation) next to the appropriate role;
- (c) indicate whether the legal arrangement is a trust or other form of legal arrangement. If other type of legal arrangement is selected, state the type of legal arrangement;
- (d) state the governing jurisdiction (e.g. “governed by the laws of Trinidad and Tobago (or elsewhere));

- (e) state the first name(s), middle name(s) and surname(s) of the Trustee/Administrator;
- (f) state the role (indicate whether role is Trustee/Administrator); and
- (g) state form of identification, associated number, country of issue and expiry date.

Item 3.2

The beneficial owner status must be included -

- (a) State the following particulars for the natural person(s) who is/are the beneficial owner(s):
 - first name(s), middle name(s) and surname(s);
 - address including the building number and, if a multi-unit building, unit number;
 - nationality;
 - occupation/calling. In the case of a natural person who has no business occupation state “Not applicable” or “N/A”; and
 - nature of beneficial interest.

Item 4 Only applicable to persons who are beneficial owners of the Trust/Legal Arrangement but are not party to the trust

Item 4.1

With respect to individual (s) who are not parties but are beneficial owners of the trust/legal arrangement, state -

- (a) first name(s), middle name(s) and surname(s);
- (b) address including the building number and, if a multi-unit building, unit number;
- (c) nationality;
- (d) occupation/calling. In the case of a natural person who has no business occupation, but who holds any other directorship or directorships, particulars of that other directorship or at least one of those other directorships should be stated. In the case of a natural person who has no other business occupation or directorship of any kind, state "Not applicable" or "N/A"; and
- (e) form of identification, associated number, country of issue, and expiry date.

Item 4.2

The nature of beneficial interest must be stated.

Signature –

The person completing the statement shall date, sign and state his title on the statement. Where the statement is made on behalf of a company, the Director or Secretary of the company who completes the statement shall sign and state the title under which their signature is being made. Where the statement is being made on behalf of a legal arrangement, the Trustee or Administrator of the trust/other form of legal arrangement, who completes the statement shall sign and state the title under which their signature is being made.

