

**TEMPLATE - NOTIFICATION OF ALTERNATE COMPLIANCE OFFICER**

[Date]

The Chief Executive Officer  
Trinidad and Tobago Securities and Exchange Commission  
Levels 22-23, Tower D  
International Waterfront Centre  
1 Wrightson Road,  
Port of Spain.

Dear Sir,

**RE: DESIGNATED ALTERNATE COMPLIANCE OFFICER**

In accordance with Regulation 3(9) of the Financial Obligations Regulations, 2010 (as amended) ("FORs"), please note that [Name of Alternate] has been designated as the Alternate Compliance Officer of [Company Name] effective Day-Month-Year.

Additional information on [Name of Alternate] is appended on the form attached for your consideration.

Please do not hesitate to contact us if additional information is required.

Yours sincerely,

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# COMPANY'S LETTERHEAD

## NOTIFICATION OF THE DESIGNATED ALTERNATE COMPLIANCE OFFICER

### APPLICANT DETAILS

Name of Financial Institution:

Name of Designated Officer: \_\_\_\_\_

Current Position Title (Substantive Role): \_\_\_\_\_

Brief description of the Officer's duties related to substantive role:

Employment History (last 5 years):

AML/CFT Training (last 5 years):

Attachments:

- ☐ Copy of National I.D. Card
- ☐ Copy of Driver's Permit
- ☐ Copy of Passport

\_\_\_\_\_  
Name of Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Company's Stamp