



GOVERNMENT OF PUERTO RICO  
OFFICE OF THE COMMISSIONER OF FINANCIAL INSTITUTIONS

## LICENSE RENEWAL APPLICATION

### International Financial Entities

Please be advised that each question must be answered. If the space provided is not enough, please use a separate piece of paper and identify it properly. If the question is not applicable, please answer N/A in the space provided.

This form will be submitted together with the corresponding annual renewal payment. Such payment should be received by our Office at least 30 days prior to its due date, being its due date the license's anniversary.

<b>Name of the Entity</b>	
<b>Employer Identification Number</b>	
<b>Top management members</b>	
1) Have there been any changes in the entity's management during the year?  Please specify which they are, include names, positions and starting dates in such positions.	
<b>Ownership and Board of Directors</b>	
1) Submit a list of all members of the Board of Directors.  2) Submit an updated list of owners with the corresponding percent of ownership	
<b>Entity's unencumbered assets</b>	
1) Actual balance	
2) What it consists of? (CD, bonds, other)	



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3) When is its due date? (if applicable)	
4) Where is it deposited?	
<b>Regulatory Capital</b>	
1) Total Capital	
2) Evidence that the entity maintains the capital required by the Commissioner pursuant to the provisions in article 5 of the Act 273-2012; calculated according to generally accepted accounting principles.	
<b>Product and services offered</b>	
1) Which products you offer to your customers?	
2) Which services you offer them?	
<b>Business plans and strategies</b>	
1) Have there been any changes in these areas? Which are they?	
2) Are you planning on any changes in them? Which are they?	
<b>Contact person</b>	
1) To whom may we contact about any matters concerning the Entity?  Please include name, position, e-mail address and phone number.	
<b>Location and postal Address</b>	
1) Which are the current physical and postal addresses?	



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<b>Employees</b>	
1) How many persons are employed?  Please include names, positions and starting dates in such positions.	
<b>General Accounting Information</b>	
Please submit a copy of the most recent financial information for the Entity (i.e. General Ledger) Interim financials can be provided.	
<b>Compliance Statement on Bank Secrecy Act ("BSA/AML")</b>	
Please include an affidavit signed by the Chief Executive Officer of the institution; certifying compliance with the provisions of the BSA as may be applicable; in which states the following:	
a) That the Entity has implemented the necessary and adequate policies and procedures to ensure compliance with the BSA/AML Act.	
b) That management is responsible for the establishment, maintenance and compliance of the BSA/AML program.	
c) That management has adopted the necessary policies and procedures to comply with the regulatory guidelines from OFAC, as applicable.	
<b>Independent testing BSA/AML/OFAC</b>	
Please submit a copy of the most recent independent audit of BSA/AML/OFAC conducted for the IFE .	