

FIRMS NOT CONDUCTING RELEVANT FINANCIAL BUSINESS APPLICATION FOR REGISTRATION

(Version: December 2021)

IMPORTANT NOTES

Please complete and submit this form in accordance with the requirement under the Anti-Money Laundering Regulations (2020 Revision) (“AMLRs”) of the Cayman Islands for firms of attorneys-at-law (including sole practitioners) to register with the Cayman Attorneys Regulation Authority (“CARA”).

Please only submit this registration form if you are a sole practitioner or you are a firm which is NOT intending to provide relevant financial business as defined in Schedule 6 of the Proceeds of Crime Law (2020 Revision) (“POCL”) of the Cayman Islands.

If you or your firm is intending to provide RFB, please complete and submit the alternative registration form for ‘Firms Conducting Relevant Financial Business’ which is also available on our website.

Please note you are NOT required to register with CARA if you are:

- i. an attorney-at-law employed by the Cayman Islands Government; or
- ii. an attorney-at-law listed on the Cayman Islands’ Court Roll and you do not hold a current practicing certificate; or
- iii. an attorney-at-law holding a current practicing certificate, but you are not currently providing any legal services in respect of Cayman Islands law or in the islands.

SUBMISSION INFORMATION

Please answer all questions, using N/A if any question is not applicable.

For assistance with registration, please direct your specific enquiries to info@cara.ky.

Please follow full directions on page 5 for submission.

PLEASE NOTE AN ATTORNEY-AT-LAW FIRM OR SOLE PRACTITIONER MUST NOT CONDUCT RELEVANT FINANCIAL BUSINESS IN ANY CAPACITY UNTIL REGISTERED WITH CARA. CARRYING OUT RELEVANT FINANCIAL BUSINESS WHEN UNREGISTERED IS A BREACH OF THE AMLRS AND YOU MAY BE SUBJECT TO AN ADMINISTRATIVE FINE.

A. FIRM INFORMATION

A.1 Firm/Practice name:

A.2 Trading name (if applicable):

A.3 Legal status of firm: Sole Practitioner Company General Partnership Limited Liability Partnership Other

A.4 Date of Incorporation or Formation
(if applicable - dd/mm/yyyy):

A.5 Company Number (if applicable):

A.6 Principal Business Address:

A.7 Postal Address:

A.8 Website Address:

A.9 Business Telephone Number:

A.10 Registered Office
(if applicable and different to above):

A.11 Is your firm a 'Recognised Body'¹? YES NO NOT APPLICABLE

A.12 Does your firm hold an operational licence²? YES NO NOT APPLICABLE

A.13 Operational licence number (*if applicable*):

A.14 Date firm commenced trading (*dd-mm-yyyy*):

A.15 Which best describes your firm? Domestic Firm³ International/Multi-Jurisdictional/Internationally affiliated Firm⁴

A.16 If you answered 'International/Multi-Jurisdictional/ Internationally Affiliated firm', please confirm in which jurisdictions outside of the Cayman Islands your firm has a presence and or an established office:

A.17 Total number of full time staff:

A.18 Total number of fee earners:

A.19 Please state the following relevant staff numbers as applicable:

Sole Practitioner:		Equity Partner ⁵ :	
Senior Management (non-attorney):		Salaried Partner ⁶ :	
Administrative ⁷		Associate ⁸ :	
Compliance		Other ⁹ :	

¹ In accordance with the Legal Practitioners (Incorporated Practice) Regulations (2006 Revision)

² In accordance with the Legal Practitioners Law (2012 Revision)

³ meaning a law firm physically located in the Cayman Islands and does not have an established office or a presence outside of the Cayman Islands.

⁴ meaning a law firm physically located in the Cayman Islands and has an established office or a presence outside of the Cayman Islands.

⁵ or equity participation in a Firm.

⁶ or equivalent

⁷ Support staff such as secretaries or corporate administrators.

⁸ i.e., any attorneys-at-law not in a previous category.

⁹ any employee not covered by other categories.

B. BUSINESS ACTIVITIES

B.1 Does your firm operate a client bank account/trust account? YES NO

B.2 Does your Firm engage in any of the following incidental activities¹⁰ on behalf of any person or entity? Please tick all that apply:

Type of Service

Receiving or Paying Funds	
Accepting Deposits	
Holding Funds in Escrow/Client Account(s)	
Transferring Funds by other means (see below)	

Other Relevant Information (if applicable):

B.3 Does your Firm ever accept or handle cash? YES NO

B.4 Does your Firm ever accept or handle virtual currency? YES NO

B.5 Please state below all the legal services which are and/or will be offered by your firm/practice¹¹:

¹⁰ This does not include professional fees received or paid.

¹¹ 'Providing legal services' includes giving legal advice or assistance, preparing a document on behalf of another person, or preparing an instrument governed by law that relates to real, personal, or intangible property.

C. DECLARATION

I, the undersigned, hereby declare that:

- To the best of my knowledge and belief, the information in this form is true, complete and accurate;
- I understand the provision of false or misleading information to CARA is in contravention of Regulation 550 of the AMLRs, is a criminal offence and may give rise to a penalty; and
- I confirm that, if requested, the firm/practice is willing to submit or make available to CARA, any further information, documents, and records in support of answers given in this registration form.

Full name:

Position within firm:

Direct contact number (*work*):

Direct contact number (*cell*):

Email address:

Date signed (*dd/mm/yyyy*):

Signature:

HOW TO SUBMIT

After completing and signing, please submit your registration form by email to info@cara.ky.

USING YOUR PERSONAL INFORMATION

We will treat your personal information in accordance with data protection legislation. We will use your information to carry out our responsibilities as a regulator. We may, either as required by law or to carry out those responsibilities, share your personal information to comply with the requirements of government departments, agencies and regulators. For more information about our data protection policy please go to <https://cara.ky/privacy-policy/>.