

ANNEXURE A: NPO REGISTRATION FORM



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PART A: INTRODUCTION

Section 35(A)(2) of the Financial Intelligence Act 2012 (Act No.13 of 2012), herein referred to as the FIA, requires high risk NPOs to register their particulars with the Financial Intelligence Centre (FIC). This lays the foundation for supervision by the FIC as per the FIA. For registration to be completed, the FIC requests your good office to:

- a. complete the information herein;
- b. avail supporting information where such is required; and
- c. mail the completed form to register@fic.na along with the supporting information required.

The FIC will, upon receipt of your registration application and supporting information review same and if requirements are met, a confirmation letter will be sent to your registered Compliance Officer or Reporting Person. Registrations takes a few working days to finalise if all requirements are met.

1. **Prior registration:** Is your organisation already registered with the FIC? Tick the appropriate box below.

	Tick		Tick
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

2. **Reason for registration:** If you indicated Yes above, kindly indicate the reason for registering. Tick the appropriate box below. If indicated No above, continue with point 3.

	Tick
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Replacing the registered Compliance Officer/Reporting Person	
Additional reporting person	
Access to United Nations Security Council (UNSC) sanction screening platform	

PART B: DUE DILIGENCE

3. Founder(s) of the NPO

3.1 From the below options, select the type of persons who have founded the NPO:

	Tick
Natural person(s)	
Legal Person(s) / Company(ies)	
Trust(s)	
Others(s): Specify	

3.2 If the Founder(s) is/are **natural persons**, please indicate the founder's details below (recreate this information on another page if founders are more than 2):

	Founder 1	Founder 2
a. Title		
b. First name		
c. Surname		
d. ID Number		
e. Nationality		
f. Email		
g. Source of funds Donated to NPO		
h. Contact number (office)		
i. Mobile number		
j. Residential Address		

Recreate the above table on another table to additional information if founders are more than 2.

3.3 If the Founder(s) is/are **Legal Persons**, please indicate the founder's details below.

	Founder 1	Founder 2
a. Previous Name, if any		
b. Current name		
c. Current registration number (please avail incorporation docs!)		
d. Jurisdiction of registration		
e. Residential address of entity		
f. Name of contact person in entity		
g. Email of contact person		
h. Contact number of contact person		
i. Source of funds Donated to NPO		

Recreate the above table on another table to additional information if founders are more than 2.

4. Particulars of NPO:

a. Previous NPO Name, if any	
b. Current NPO name	
c. Is NPO licensed to operate (e.g by National Welfare Board)	Yes / No
d. Is NPO registered as a section 21 Company in Namibia?	Yes / No

¹ Governance or incorporation documents such as a charter, constitution, memorandum of association or articles.

e. If Yes above, provide company registration number (Submit incorporation ² documents)	
f. Is NPO registered as a trust or other arrangement/entity in Namibia?	
g. If Yes above, provide trust deed or such other entity incorporation/registration number (Submit registration documents)	Verify if there is a trust deed number
h. Is NPO registered in other jurisdictions?	Yes / No
i. If Yes above, provide proof of such foreign registration	
j. Is the NPO a branch of an international partner/NPO?	Yes / No
k. If Yes above, name the main branch/head office and jurisdiction of such	
l. Does NPO receive donations/funds from outside the country?	
m. List all such source countries	
n. Does NPO provide funds or services to beneficiaries outside the country?	
o. List all such beneficiary/destination countries	
p. Contact Number of NPO	
q. Residential address of the NPO	

² Governance or incorporation documents such as a charter, constitution, memorandum of association or articles.

r. Postal Address of NPO	
s. State the primary objective or purpose of the NPO (can be on incorporation documents)	

5. Fitness and Probity

5.1 If any, what is the highest level of Governance and Accountability Framework in place?

	Tick
None whatsoever	
Board Level	
Management Committee or Executive Committee	
Other(s): specify	

5.2 Avail particulars of the NPO's Board or Management Committee Members as per below:

5.2.1 First two Members:

	First Board or Management Committee Member	Second Board or Management Committee Member
a. Full names		
b. ID / Passport No		
c. Nationality		
d. Residential address		
e. Contact Number		
f. Is there a Police Clearance Certificate?	Yes / No	Yes / No
g. Does such certificate clear the Member?	Yes / No	Yes / No
h. Record of any other integrity breaches against member		

i. Record of ITC clearance		
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5.2.2 Next Two Members:

	Third Board or Management Committee Member	Fourth Board or Management Committee Member
a. Full names		
b. ID / Passport No		
c. Nationality		
d. Residential address		
e. Contact Number		
f. Is there a Police Clearance Certificate?	Yes / No	Yes / No
g. Does such certificate clear the Member?	Yes / No	Yes / No
h. Record of any other integrity breaches against member		
i. Record of ITC clearance		

5.2.3 Next Two Members:

	Fifth Board or Management Committee Member	Sixth Board or Management Committee Member
a. Full names		
b. ID / Passport No		
c. Nationality		
d. Residential address		
e. Contact Number		
f. Is there a Police Clearance Certificate?	Yes / No	Yes / No

g. Does such certificate clear the Member?	Yes / No	Yes / No
h. Record of any other integrity breaches against member		
i. Record of ITC clearance		

Recreate similar tables to avail additional information if members are more than six.

6. Particulars of the Compliance Officer/Reporting Person

a. Title	
b. First name	
c. Surname	
d. ID Number	
e. Nationality	
f. Email	
g. Occupation/Position in the NPO	
h. Contact number (office)	
i. Mobile number	
j. Residential Address	

7. Risk Management Policies and Controls

7.1 Adequacy of Risk Management Framework

The NPO must submit a **risk management policy document or standard operating procedures**. Such **must**³ demonstrate implementation of controls to reduce risks of abuse of its services or programs, finances and resources. The said document must, at a minimum, speak to the following:

- a. **confirm the identity, credentials and good standing** of donors and beneficial owners;
- b. **managing risks** of beneficiaries;

³ As per Directive 03 of 2020, all institutions applying for FIA registration are expected to submit a copy of their AML/CFT/CPF Compliance Programme, which has been duly approved by relevant management, as per FIA sections 39(3) and (4).

- c. **Transparency** around founders, donors, beneficiary information;
- d. **Mandatory sanctions screening of** all donors, beneficiaries, beneficial owners and relevant stakeholders against the UNSC sanctions lists;
- e. **Maintaining records of all NPO** activities, purpose and objective(s) etc.;
- f. **Accounting for expenditure.**

7.2 Additional Governance Information

NPO must submit governance policies or procedures which outline the following:

- a. List the primary **functions** of the Board or Management Committee;
 - b. List the primary **powers** of the Board or Management Committee; and
 - c. List the primary **procedures that guide the appointment** of Board and/or Management Committee members.
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