

PART 2
PERSONAL QUESTIONNAIRE
[Fit and Proper Test]
PART A

NAME: _____

PREVIOUS NAMES (IF ANY): _____

ALIASES: _____ DATE OF BIRTH: _____

CITIZENSHIP: _____

PLACE OF BIRTH _____

NATIONAL INSURANCE NUMBER: _____

PASSPORT NUMBER: _____

ADDRESS (Home & Business): _____

OCCUPATION: _____

1. Have you at any time been charged or convicted of any offence by a civil, criminal or military court? (excluding minor Road Traffic offences). If so, please give details of charge, and if convicted, the date of conviction and full particulars of the offence and the penalty imposed.

2. Have you ever been the subject of investigation/disciplinary procedures, censured, disciplined by any professional body to which you belong or have belonged? If so, give particulars.

3. Have you ever been refused entry to any profession or vocation? If so, give particulars.

4. Have you ever been dismissed or requested to resign from any office or employment?
If so, give particulars.

5. Have you ever been censured, disciplined by, or made the subject of a court order at the instigation of -
(a) any regulatory authority?
(b) any officially appointed enquiry?
(c) any other established body concerned with the regulation of a relevant activity (as described in the glossary at the end of this form) ?

If so, give particulars.

6. In connection with the formation or management of any corporation, have you been adjudged by a court civilly or criminally liable for any fraud, misfeasance or other misconduct towards that corporation or any member of the corporation?

If so, give particulars.

7. In connection with the formation or management of any corporation have you been disqualified by a court from being a director or from acting in the management or conduct of the affairs of any corporation?

If so, give particulars.

8. Have you ever –

(a) been adjudged bankrupt by a court in any jurisdiction?

(b) had a receiving order made against you?

(c) had your estate sequestrated?

(d) entered into a deed of arrangement, or other composition or arrangement with your creditors?

If so, give particulars.

9. Has a bankruptcy petition ever been served on you? If pending, give details of the circumstances and if not pending, how was the matter resolved?

10. Have you, your company or your employer, previously dealt on a regular basis with any person carrying on a relevant activity* who has, to your knowledge at any time, indicated that he is unwilling to effect further transactions with you, your company or your employer, by reason of any act or omission by you?

If so, give particulars.

11. Will you be actively engaged in the business or the entity to which this application relates and devote the major portion of your time to it?

* “relevant activity” means:

- a) banking, finance, insurance, money-lending, money management, debt-financing, hire purchase financing, leasing or other financial activities;
- b) dealing in securities;
- c) providing investment or financial advice and management.

PART B RELATED OR OTHER INTEREST

1. Are you a director of any company, partnership, corporate body or any other business organisation engaged in money services business? If so, state –
- (a) name of company/corporated body/etc.;
 - (b) nature of business;
 - (c) date of commencement of directorship;
 - (d) whether or not employed on service contract (e.g. managing directorship) in any case.
2. Have you been a director of a deposit taking institution, credit extending institution, other financial service provider, any other limited company or corporation other than those stated in the previous questions? If so, state –
- (a) name of company/corporation;
 - (b) nature of business;

(c) date of commencement of directorship;

(d) date of cessation of directorship.

3. Are you or have you been engaged –

(a) in partnership?; or

(b) in business as a principal on your own account?

If so, give particulars.

4. Are you a beneficial owner of any controlling interest in any unlisted private or public company? If so, give particulars.

5. Have you ever been a director of, or directly concerned with the management of a bank or other financial institution –

(a) that has been wound up by a court?

(b) the licence of which has been revoked?

(c) which has been placed in receivership?

(d) which has entered into a composition with its creditors?

(e) whose business had been adjudged to have been conducted imprudently or fraudulently?

(f) which has failed to meet the solvency requirements prescribed by law?

If so, give particulars.

6. Have you ever been a director, or been directly concerned with the management or conduct of affairs of any company which has gone into liquidation, whilst you were, or within one year of your being a

director, or so concerned? If so, give details of the circumstances including the following –

- (a) name of company;
- (b) name of liquidator;
- (c) address of liquidator.

7. Have you ever been concerned with the management or conduct of affairs of any corporation which, by reason of any matter relating to a time when you were so concerned, has been censured or disciplined by –

- (a) any regulatory authority?
- (b) any official appointed enquiry?
- (c) any other body concerned with regulation of a relevant activity?

If so, give particulars.

8. Do you (in your personal capacity or through any entity controlled by you) have outstanding debt of any amount sixty or more days in arrears? If so, state the following –

- (a) form
- (b) amount
- (c) source
- (d) maturity date

9. Has any person, firm or company guaranteed the indebtedness?

If so, give particulars (see previous question).

10. Are you at present guaranteeing the debts and obligations of any third parties? If so, give particulars.

I make this Declaration conscientiously believing the same to be true, accurate, fair, to the best of my knowledge and belief and in accordance with the Statutory Declaration Act, and that I am aware that if there is any statements in this Declaration which is false, or which I know to be false or do not believe to be true, I am liable to imprisonment.

Delared before me
at this day of
Declarant Notary Royal

.....
Signature

PART C

Notes to applicants for Personal Questionnaire

AUDITED FINANCIAL STATEMENTS

1. If the applicant is a business that was in existence and operating prior to the date of application, copies of audited financial statements (balance sheet, profit and loss, auditor's report and notes to accounts) for the five consecutive years immediately preceding its application, except however that where such applicant has been functioning for less than five years, a copy of its audited financial statements for each year it has been in operation shall be sufficient.
2. Where item 1 is not applicable the opening balance sheet, (audited).
3. Operating projections for the proposed licensee's first five years of business. This should include balance sheet, income statement and cash flow projections prepared in an acceptable accounting format. Details of any financial or economic assumptions on which these projections are based should be clearly indicated.
4. Where the applicant is a subsidiary or affiliate of another company, submit in addition to item 1 or 2, audited financial statements of the parent company and its consolidated accounts where applicable.

GLOSSARY

"corporation" means a body corporate, incorporated in Saint Lucia or elsewhere;