



FINANCIAL SERVICES AUTHORITY
SAINT VINCENT & THE GRENADINES

PERSONAL QUESTIONNAIRE FOR INSURANCE INTERMEDIARIES

(To be completed by every director, manager or partner of companies licensed or applying to be licensed as an insurance agent or broker under the Insurance Act, Chapter 306 of the Laws of St. Vincent & the Grenadines, Revised Edition 2009).

Please make copies of this form for the number of officers as stated above.

1. Full name
2. Private address
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3. Business address
4. Email address.....
5. Date of birth 5. Country of birth.....
6. Nationality7. Occupation
8. Position held in the applicant company
9. Shareholding in the applicant company (if applicable)
10. Professional training (including details of any insurance and related courses) (Attach certified photocopies of certificates).
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11. Work experience in insurance. (Include dates and the class (es) of insurance transacted.)

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

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13. Are you a member of an association of insurance salesmen or of any other professional insurance association? **If Yes, give details**

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14. Are you a director of any insurance company, insurance brokerage company or insurance agency? **If yes, give details.**

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15. Name of other bodies corporate of which you are a director or partner

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16. Have you at any time been convicted of any offence (other than a traffic offence) by any court whether civil or military? **If yes, give details.**

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Please attach a recent (not older than six months) Police Record.

Police Record provided <input type="checkbox"/>

17. Have you been censured, disciplined or publicly criticized by any professional body to which you belong or belonged or refused entry to any profession? **If yes, give particulars.**

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18. Have you ever been:

- (a) 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:

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19. Have you ever been required to give evidence in any trial or proceedings involving fraud, dishonesty or similar matters, other than as an expert witness? **If yes, give particulars.**

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20. Have you ever been dismissed or requested to resign from any office or employment? **If yes, give particulars:**

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21. Have you ever been censured, disciplined or publicly criticized 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.

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22. In connection with the formation or management of any corporation, have you ever 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 yes, give particulars.**

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23. 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 yes, give particulars.**

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24. Have you ever been a director of, or directly concerned with the management of any 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 by a court to have conducted imprudently or fraudulently?
- (f) which has failed to meet the solvency requirements prescribed by law?

If yes, give particulars

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I, certify that I have
supplied the above information and to the best of my knowledge and belief the
information is true and correct.

Date.....

Signature.....