



**FINANCIAL SERVICES AUTHORITY
SAINT VINCENT & THE GRENADINES**

PERSONAL QUESTIONNAIRE

FOR SHAREHOLDERS, DIRECTORS, PARTNERS AND SENIOR MANAGEMENT OF COMPANIES, PARTNERSHIPS OR FOREIGN BANKS LICENSED, OR APPLYING TO BE LICENCED OR NATURAL PERSONS APPLYING TO BE LICENSED UNDER THE REGISTERED AGENT AND TRUSTEE LICENSING ACT, CHAPTER 105 OF THE REVISED LAWS OF ST. VINCENT AND THE GRENADINES, 2009

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

Name: _____

Date of Birth: _____

Social Security Number: _____

National ID Number/Driver's Licence Number/ Passport Number: _____

Citizenship: _____

Residence Address: _____

Business Address: _____

Telephone Number: _____

Fax Number: _____

E-mail Address: _____

Occupation: _____

Proof of Employment required (Note: if self employed, confirmation of income required)

1. Have you at any time been charged or convicted or 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 required to give evidence in any trial or proceedings involving fraud, dishonesty or similar matters, other than as an expected witness? If so, give particulars:

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

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

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

6. Have you ever been censured, disciplined, publicly criticized or sanctioned by, or made the subject of Court Order at the instigation of:

a) Any governmental/regulatory authority?

b) Any officially appointed enquiry?

c) Any other established body concerned with the regulation of a relevant activity. If so, give particulars:

7. 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 thereof? If so, give particulars:

8. In connection with the formation or management of any corporation, have you been disqualified by a court or regulator from being a director or from acting in the management or conduct of the affairs of any corporation? If so, give particulars:

9. a) Have you ever been adjudged bankrupt by a court in any Jurisdiction? _____
b) Was a receiving order made against you? _____
c) Was your estate sequestrated/restrained? _____
d) Have you ever entered into a Deed of Arrangement, or other composition or arrangement with your creditors? If so, give particulars:

10. 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?

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 thereto?

12. Are you a Director of any Limited Companies or other Corporations engaged in activities in the financial services sector? If so, state:

a) Name of Companies/Corporations _____

b) Nature of business _____

c) Whether or not employed on a service contract (e.g. Managing Directorship) in any case _____

13. Have you been a Director of any Limited Companies or other Corporations, other than those stated in the previous questions? If so, state:

a) Name of Companies/Corporations _____

b) Nature of business _____

c) Date of commencement of Directorship _____

d) Date of cessation of Directorship _____

14. Are you or have you ever been engaged :-

a) In a Partnership _____

b) In business as a Principal on your own account _____

If so, give particulars:

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

16. Have you ever been a director of, or directly involved in the management of a bank or other financial institution:

- a) Which 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 has been adjudged to have been involved imprudently or fraudulently?

- f) Which has failed to meet the solvency requirements prescribed by law? _____

17. Have you ever been a director, or been directly involved in 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 involved. If so, give details of the circumstances, including:

- a) Name of Company _____
- b) Name of Liquidator _____
- c) Address of the Liquidator _____

18. Have you ever been involved in the management or conduct of affairs of any corporation which, by reason of any matter relating to a time when you were so involved, has been censured, disciplined or sanctioned by:

- a) A governmental/regulatory authority?

- b) Any official appointed enquiry? _____
- c) Any other body concerned with regulation of a relevant activity? If so, give particulars:

19. Do you (*in your personal capacity or through any entity controlled by you*) have outstanding any loans or other forms of indebtedness in excess of EC\$100,000.00. If so, state:-

- a) From: _____
- b) Amount: _____
- c) Source: _____
- d) Maturity Date: _____

20. Has any person, firm or company guaranteed the indebtedness? If so, give particulars: (*see previous question*):

21. Have you at present guaranteed the debts and obligations of any third parties? If so, give particulars:

I, _____ declare that the answers to the above questions are true and correct.

Signature _____ Date _____

Attachments Required:

- (i) Proof of Citizen
- (ii) Curriculum Vitae
- (iii) Bank References
- (iv) Proof of Employment (*state length of service, income, position*)
- (v) Proof of Income (*if self employed*)
- (vi) Police record
- (vii) Net Worth Statement by Accountant.