

INTERNATIONAL FINANCIAL SERVICES AUTHORITY PERSONAL QUESTIONNAIRE



FOR SHAREHOLDERS, DIRECTORS AND SENIOR MANAGEMENT OF COMPANIES LICENSED, OR APPLYING TO BE LICENCED UNDER THE REGISTERED AGENT AND TRUSTEE LICENSING ACT 1996 OF ST. VINCENT AND THE GRENADINES AND ITS AMENDMENTS

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

Name: _____

Date of Birth: _____

Social Security Number: _____ Passport Number: _____

Citizenship _____

Residence Address: _____

Business Address: _____

Occupation: _____

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

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 or publicly criticized 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 or publicly criticized by, or made the subject of 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:

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 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) 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:

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/Corporation

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/Corporation

(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 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 private or public company? If so give particulars ;

16. Have you ever been a director of, or directly concerned 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 creditor's? _____

(e) Whose business has been adjudged to have conducted imprudently, fraudulently?

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

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

a) Name of Company

b) Name of Liquidator

c) Address of the liquidator

19. 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, disciplined or publicly criticized by:

(a) A regulatory authority? _____

(b) Any official appointed enquiry? _____

(c) Any other body concerned with regulation of a relevant activity? If so, give particulars:

20. 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: _____

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

If so, give particulars: **(see previous question):**

22. 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.

SignatureDate.....

Attachments Required:

Proof of Citizen

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Bank References

Proof of Employment (Stating length of service, income, position)

Self Employed? Proof of Income

Police record certifying no criminal convictions

Net Worth Statement