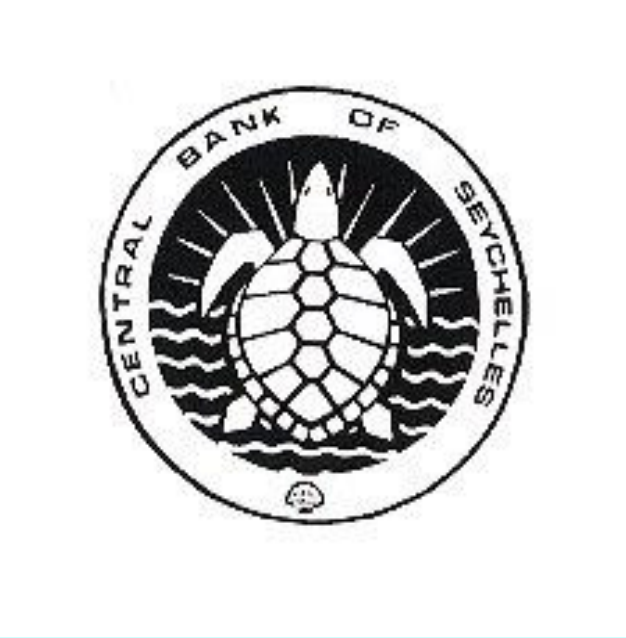
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PERSONAL QUESTIONNAIRE

For Individuals Holding Substantial Interests, Directors, Managing Directors/Chief Executive Officers/Managing Agents and Members Of A Credit Union To Be Elected On The Supervisory Committee

PERSONAL QUESTIONNAIRE

Please read the questions carefully before completing this form. Should you require more space the answers should be written or typed on a separate sheet of paper with the heading "Continuation of Answer to Question…."

Where documents required are in languages other than English, a certified English translation needs to be appended.

The information provided will be used to assess your fitness and properness. However, the areas covered in this questionnaire are not exhaustive of the matters that the Central Bank of Seychelles (Central Bank) will consider in the evaluation process.

The Central Bank reserves the right to seek references from organisations and individuals named in this Questionnaire. It is important, therefore, to ensure that full names and addresses are provided.

PLEASE NOTE:
AN INCOMPLETE QUESTIONNAIRE WHICH DOES NOT DISCLOSE ALL INFORMATION MAY AFFECT CENTRAL BANK'S ASSESSMENT AND RESULT IN DELAYS IN ITS CONSIDERATION OF THE LICENCE APPLICATION.

Once completed this questionnaire should be returned to: Financial Surveillance Division, Central Bank of Seychelles, P.O. Box 701, Victoria, Mahé, Seychelles.

1. Name of bank/credit union for which this questionnaire is being completed

2. You are completing this questionnaire as:

a. Director ☐
b. Managing Director/Chief Executive Officer ☐
c. Managing Agent ☐
d. Holder (natural person) of a substantial interest ☐
e. Member of a Credit Union to be elected to the Supervisory Committee ☐

3. Surname Forename(s)

Other names that you have been known by
(including name at birth, previous married names, aliases)

4. Gender

Male ☐
Female ☐

5. Identification Number (Passport/National ID)

6. Date of birth __ __ /__ __ / __ __ __ __

7. Place of birth

Town/City

Country

8. Country of permanent residence

9. Address for correspondence

10. Telephone number

COUNTRY CODE AREA CODE NUMBER

Office hours ( ) ( )

COUNTRY CODE AREA CODE NUMBER

After hours Or mobile/cell ( ) ( )

Facsimile number

COUNTRY CODE AREA CODE NUMBER

( ) ( )

E-mail address

11. Nationality

12. i) How was your nationality acquired

a. by birth ☐
b. by naturalisation ☐
c. by marriage ☐
d. others ☐

ii) Indicate previous nationality

13. Beginning with your current address, list below all previous private addresses during the last ten years with relevant dates.

DATES	ADDRESS

14. Academic Background

Provide details of any higher academic qualifications and the year and place in which they were obtained (eg. BA; LLB; MIBA; MA; MSc).

TYPE OF DEGREE	SUBJECT	NAME AND ADDRESS OF INSTITUTION	YEAR OBTAINED

15. List down any professional qualifications and the year in which they were obtained (eg. ACA; ACCA; ACIB; ACIS).

MEMBERSHIP NO.	PROFESSIONAL QUALIFICATION	YEAR OBTAINED

16. Details of all (current and non-current) membership of any professional bodies, their address(es) and the year of admission (eg. Institute of Directors, Institute of Management etc).

MEMBERSHIP NO.	PROFESSIONAL BODY'S NAME AND ADDRESS	ASSOCIATE (A) FELLOW (F) MEMBER (M)	YEAR ADMITTED

17. Beginning with your present occupation or employment, list all occupations and employment during the last ten years.

NAME, ADDRESS, PHONE & FAX OF EMPLOYER	NATURE OF BUSINESS	POSITION AND DESCRIPTION OF DUTIES	DATES OF EMPLOYMENT

18. This question is for Chairman, Chairperson and Non-Executive Directors only:

(a) How much time do you anticipate giving to the work of the licence holder?

(b) What particular contribution will you bring to the work of the licence holder?

19. Details of any body corporate of which you are a director, manager, or company secretary and the countries in which they are registered.

20. Details of any outstanding litigation against you, and details of any current proceedings issued by you.

21. Details of any judgments against you.

22. Have you, or any body corporate, partnership or unincorporated institution to which you are, or have been associated with as a director/manager, company secretary or member of a credit union elected to the supervisory committee ever:

a. applied to any regulatory authority in any jurisdiction for a licence or other authority to carry on banking or investment business or other financial services activity? (If yes list all applications showing whether they have been successful or not) Yes☐ No☐

b. been the subject of an investigation by a governmental, professional or other regulatory body? Yes☐ No☐

c. had its authorisation revoked? Yes☐ No☐

23. Have you ever:

a. at any time been convicted of any crime or offence by any court in any country, including civil or military? Yes☐ No☐

b. been charged with any offence that is currently awaiting legal action? Yes☐ No☐

c. been subject to a disciplinary enquiry? Yes☐ No☐

d. been censured, disciplined or criticised by any professional body to which you belong or have belonged? Yes☐ No☐

e. been suspended from any office, or asked to resign? Yes☐ No☐

f. been dismissed from any office or employment or barred from entry to any profession or occupation? Yes☐ No☐

g. been disqualified from acting as a director of a company or from acting in the management or conduct of the affairs of any company, partnership or unincorporated association? Yes☐ No☐

h. been adjudicated bankrupt by a court in any jurisdiction Yes☐ No☐

i. at any time been declared bankrupt and/or have any money judgments been made against you which have not been satisfied in full? Yes☐ No☐

j. in connection with the formation, management or ownership of a substantial interest in any body corporate, partnership or unincorporated institution been adjudged by a court civilly liable for any fraud, misfeasance or other misconduct by you towards such a body or company or towards any member thereof? Yes☐ No☐

24. Has any body corporate, partnership or unincorporated institution with which you were associated as a director/manager, partner, company secretary or member of a Credit Union elected to the Supervisory Committee been compulsorily wound up or made a compromise or arrangement with its creditors or ceased trading/operations in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while you were associated with it or within one year after you ceased to be associated with it? Yes☐ No☐

25. With regard to any previous experience at a financial institution or credit union, have you ever:

a. Been responsible in whole or in part for the financial institution or credit union experiencing loss? Yes☐ No☐

b. Refused to make available for examination, books accounts, or records, or wilfully furnished false information? Yes☐ No☐

c. Obstructed or endeavored to obstruct the proper performance by an auditor or an inspection by the supervisory authority? Yes☐ No☐

d. With intent to deceive, made false or misleading statements or entries, omitted statements or entries that should have been made, or altered, concealed, or destroyed any statements or entries in any book, record, account, document, report, or statement of the financial institution or credit union. Yes☐ No☐

IF YOU ANSWERED "YES" TO QUESTIONS 22 TO 25, PROVIDE ALL THE RELEVANT DETAILS ON A SEPARATE SHEET OF PAPER BY CLEARLY STATING THE NUMBER OF THE QUESTION TO WHICH THE DETAILS RELATE.

26. Identify and provide a list of all natural persons and body corporate who will be "connected persons[1]" of the applicant if licensed or if approved as a director, manager, managing agent, chairmain, chairperson or member of the credit union elected to the supervisory committee if approved by the Regulatory authority as part of its fit and proper assessment, as a result of your position with the applicant financial institution.

27. In carrying out your duties will you be acting on the directions or instructions of any other person(s)? If so, give full particulars.

28. Provide at least two character references.

29. Provide an affidavit duly signed by the individual stating convictions for crimes, past or present involvement in a managerial function in a body corporate or other undertaking subject to insolvency proceedings or personal bankruptcy filings, if any.

30. Provide a banker's reference or reference from a credit union, for the Central Bank to assess how satisfactorily you have conducted your financial affairs over the previous 10 years. (Note that the reference should be provided for all banks/credit union where you currently conduct banking business). If you have switched banks (including branches) within the last 10 years, then submit banker's reference for each bank.

31. Attach a certified copy of your passport or driving licence and a recent photograph. A suitable certifier should certify the identification by stating that it is a true copy of the original document and by signing at the back of the photo certifying that it is the true likeliness of the individual. The certifier should include his/her signature, name in block letters, contact details, profession, name and address of business or official stamp, and date on which the document is being certified.

Categories of acceptable certifiers:

- A notary public
- An Attorney at Law
- A judge

[1] In relation to a financial institution, refers to all of the following – (i) Holders of substantial interest or that person's close relations in the financial institution, (ii) Administrators and close relations, (iii) Subsidiaries or (iv) A company or undertaking in which (i) and (ii) hold substantial interest.

Declaration

I certify that the information within this personal questionnaire is complete and correct to the best of my knowledge and belief and I undertake that, as long as I continue to be a/an……..[2] authorised under the Financial Institutions Act, 2004 (as amended) or the Credit Union Act, 2009 (as amended), I will notify the Central Bank of any material changes affecting the completeness of this questionnaire within a reasonable period of time.

I fully understand that false or fraudulent statement, other material irregularities or failure to disclose accurate information may render the application liable to be refused. If such irregularities are discovered subsequent to the issuance of the licence, the Central Bank may revoke or vary the terms and conditions of the licence.

I understand and accept that the Central Bank may wish to make enquiries - both now and on a continuing basis - to satisfy itself as to my initial and continuing fitness and properness. Accordingly, I authorise the Central Bank to make such enquiries and seek such further information as it thinks appropriate in verifying the information given in this Personal Questionnaire, or in other documents submitted as part of this application, for the purposes of performing its due diligence and background checks.

I further authorise the bankers/credit union named in this/these banker's reference/reference, together with any other person, body or institution (including the Police) which the Central Bank may approach, to provide such information as the Central Bank believes may be relevant to its assessment.

I understand that the results of these checks may be disclosed to the institution/person that is the subject of the application.

Signed _____ Date _____

[2] Director, Managing Director/Chief Executive Officer, Managing Agent, Holder (natural person) of a substantial interest, Member of a Credit Union to be elected to the Supervisory Committee