



## FINANCIAL SERVICES COMMISSION

### Individual Questionnaire – Instructions

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| General Instructions                                     | <p><i>This Form must be completed clearly and in BLOCK CAPITALS</i></p> <p><i>Documents submitted in support of the application should be in English. Where this is not the case, the same must be accompanied by an independently authenticated translation.</i></p> <p><i>A résumé and certified copy of the passport picture page must be submitted along with the completed questionnaire by proposed directors/directors and relevant officers.</i></p> <p><i>Residents of Barbados must also submit a Certificate of Character from the Royal Barbados Police Force if they intend to act as directors/relevant officers/Principals/Promoters (Mutual Funds).</i></p> <p><i>Individuals who are not residents of Barbados must submit a valid original Police Certificate of Character (certificate) or an Affidavit where a certificate cannot be obtained from the country of residence (issued within the last three(3) months)</i></p> |
| Other Instructions                                       | <ul style="list-style-type: none"> <li>• <i>Proposed Directors/ relevant Officers /Principals/ Promoters (Mutual Funds) must complete all Sections</i></li> <li>• <i>Shareholders and Ultimate Beneficial Owners who hold at least 10% or more of the entity’s voting shares (10% Shareholder) are only required to complete section 1, nos. 31 to 34 and 41 to 44 of section 3, and section 5.</i></li> <li>• <i>Question 46 should only be completed by new key persons i.e. persons who have not held the relevant position for a currently registered entity.</i></li> </ul>   |
| Section 1 , Questions 5 and 18<br>Section 1, Question 18 | <p><i>Please select the appropriate box <input checked="" type="checkbox"/></i></p> <p><i>For the purposes of this section, a politically exposed person (PEP) is defined as “an individual who is or has been entrusted with a prominent public function.”</i></p> <p><i>Additional details must be provided and relevant documentation attached.</i></p>   |
| Section 3  | <p><i>Please select the appropriate box <input checked="" type="checkbox"/></i></p> <p><i>Where “yes” is selected, additional details must be provided and relevant documentation attached.</i></p>  |



**FINANCIAL SERVICES COMMISSION**

**Individual Questionnaire**

**SECTION 1 - PERSONAL DETAILS**

1. NAME OF PROPOSING ENTITY:

2. INDICATE WHETHER YOU ARE A DIRECTOR, PRINCIPAL, OFFICER, SHAREHOLDER, OR ULTIMATE BENEFICIAL OWNER OF THE PROPOSING ENTITY

3. STATE FULL NAME (INCLUDING TITLE):

4. MAIDEN NAME (IF APPLICABLE)

5. HAS NAME BEEN CHANGED OTHER THAN BY MARRIAGE  YES  NO

IF YES, PLEASE STATE DATE OF CHANGE AND PREVIOUS NAME:

6. REASON FOR CHANGE OF NAME:



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7. PRIMARY ADDRESS:

8. MAILING ADDRESS (IF DIFFERENT FROM PRIMARY ADDRESS)

9. DATE OF BIRTH (DD/MM/YEAR):

10. PLACE AND COUNTRY OF BIRTH:

11. NATIONALITY

12. PASSPORT NUMBER

13. ISSUING COUNTRY

14. DATE ISSUED (DD/MM/YEAR):

15. EXPIRATION DATE

16. NUMBER AND TYPE OF SECOND PIECE OF IDENTIFICATION:

17. CONTACT TELEPHONE NUMBERS:



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18. ARE YOU A POLITICALLY EXPOSED PERSON? IF YES, PROVIDE DETAILS:  YES  NO

IF YES, PROVIDE DETAILS

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**SECTION 2 - PROFESSIONAL AND OTHER RELEVANT EXPERIENCE** (during the last 10 years) or detailed resume:

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| 19. NAME OF EMPLOYER  |  |
| 20. EMPLOYER'S ADDRESS  |  |
| 21. PRINCIPAL ACTIVITY OF ENTITY  |  |
| 22. REASON FOR LEAVING (IF APPLICABLE)  |  |
| 23. ANY OTHER RELEVANT EMPLOYMENT OR EXPERIENCE<br><i>(outside of ten (10) years)</i> |  |

**SECTION 3 - REPUTATION AND CHARACTER** (during the last 10 years)

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| <p>24. A person is required to be honest, ethical, act with integrity and be financially sound. In this regard, do you have any information to disclose regarding a material issue or do you have any concerns about your ability to perform the relevant function?</p>                  | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>25. Have you ever, in any jurisdiction, been refused, prohibited, restricted or suspended from the right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required in that jurisdiction?</p>                        | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>26. Have you been the subject of any complaint to the Financial Services Commission or any equivalent body (made reasonably and in good faith) relating to activities regulated by the Financial Services Commission or regulated by an equivalent authority in any jurisdiction?</p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |



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| <p>27. Are you or have you been, in any jurisdiction, subject to any disciplinary proceedings, issued with a warning, reprimand or other administrative sanction or equivalent measure by any regulatory authority, clearing house, professional body or agency?</p>   | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>28. Have you ever, in any jurisdiction, been dismissed or asked to resign and resigned from any profession, vocation, office or employment, or from any position of trust or fiduciary appointment, whether or not remunerated?</p>   | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>29. Have you ever, in any jurisdiction, been a director of a company that was struck off the Register of Companies by the Companies Registration Office (or equivalent elsewhere) other than on a voluntary basis?</p>  | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>30. Have you ever, in any jurisdiction, been disqualified or restricted from acting as a director or from acting in any managerial capacity or in any capacity that required registration?</p>  | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>31. Have you ever, in any jurisdiction, been convicted of an offence, involving money laundering, terrorist financing, fraud, misrepresentation, dishonesty, breach of trust, or an offence which would be relevant to your ability to perform the relevant function?</p>   | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>32. Have you ever, in any jurisdiction, had a civil finding, judgement or order made against you in relation to proceedings involving money laundering, terrorist financing, fraud, misrepresentation, dishonesty, breach of trust, or other matter which could affect your ability to perform the relevant function?</p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>33. Have you ever, in any jurisdiction, been the subject of any civil penalty enforcement action taken by a regulatory or other authority under any law?</p>  | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>34. Have you ever, in any jurisdiction, been convicted of a criminal offence or the subject of unresolved criminal charges criminal convictions or charges pending against you?</p>   | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>35. Have you, in any jurisdiction, defaulted on obligations to your clients or any obligation to contribute to a compensation fund established for the protection of investors?</p>   | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <p>36. Have you ever been untruthful or provided false or misleading information to the Financial Services Commission or equivalent authority/body or been uncooperative in any dealings with the Financial Services Commission or equivalent authority/body?</p>  | <input type="checkbox"/> YES <input type="checkbox"/> NO |



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| <p>37. Have you ever, as a sole trader or director, or a partner of a legal entity, in any jurisdiction been refused registration, authorisation, membership or has your licence been revoked, otherwise than on a voluntary basis?</p>   | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>38. Have you been or are you being investigated, disciplined, censured or suspended by a regulatory or professional body, a court or tribunal or any similar body, whether publicly or privately, in any jurisdiction?</p>   | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>39. Has any business (or legal entity) where you held a position of responsibility or influence been or is being investigated, disciplined, censured or suspended by a regulatory or professional body, a court or tribunal or any similar body, whether publicly or privately, in any jurisdiction?</p> | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>40. Have you ever, in any jurisdiction, been found by a regulatory or equivalent body to have perpetrated or participated in any negligent, deceitful or otherwise discreditable business or professional practice?</p>  | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>41. Have you ever defaulted upon payments due arising from a scheme of arrangement with your creditors or made an assignment for the benefit of your creditors?</p>  | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>42. Have you ever, in any jurisdiction, been subject to a judgement debt which is unsatisfied, either in whole or in part?</p>   | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>43. Were you ever, or are you currently the subject of a bankruptcy petition in any jurisdiction?</p>  | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>44. Have you ever, in any jurisdiction, been adjudicated as bankrupt and the bankruptcy is undischarged?</p>   | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |
| <p>45. Have you ever, in any jurisdiction, been the director of an entity, which has been the subject of insolvency? (i.e. non voluntary liquidation, receivership, examinership or administration)?</p>  | <p><input type="checkbox"/> YES <input type="checkbox"/> NO</p> |



## FINANCIAL SERVICES COMMISSION

### SECTION 4 - REGULATORY STANDING

(See instructions on page 1 for further information on completing this section.)

46. Please provide pertinent details regarding any financial services regulatory approvals which you have held within the last 5 years.



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### SECTION 5 – DECLARATION AND CERTIFICATION

47. I will promptly notify the Financial Services Commission of any material changes in the information which I have provided and confirm that I will inform the Financial Services Commission in writing of the details of such changes and any other relevant/material information of which I may become aware at any time after the date of this declaration.

I am aware that it may be an offence and/or grounds for refusal of the application and/or grounds for revocation of an authorisation approval granted on the basis of information provided herein and/or grounds for the Financial Services Commission to commence an administrative sanctions procedure against both myself and/or the proposing entity for me to knowingly or recklessly:

- a. Provide false or misleading information and/or make a false or misleading statement (which I acknowledge, may include the withholding by me of relevant information) in this application for approval
- b. Fail to inform and/or withhold from the Financial Services Commission details of any material change in circumstances/new information which is relevant and/or material to my status as an approved person

I hereby confirm my awareness of my responsibilities arising from the legislation, regulations, guidance notes, guidelines and any other rules or directives, which are of relevance to the proposed position(s) and I confirm my intention to ensure that the proposing entity of which I am to perform a function will be operated in compliance with them.

I am fully aware of the obligations and duties of a Director /Officer/Principal/Shareholder/Ultimate Beneficial Owner of a Company under the laws of Barbados.

I certify that the above information is complete and correct to the best of my knowledge and belief.

**Name** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Date** \_\_\_\_\_