



FINANCIAL SERVICES AUTHORITY
SAINT VINCENT & THE GRENADINES

PERSONAL QUESTIONNAIRE

**FOR SHAREHOLDERS, DIRECTORS AND SENIOR MANAGEMENT OF
COMPANIES LICENCED, OR APPLYING TO BE LICENCED UNDER THE
INTERNATIONAL BANKS ACT, CHAPTER 99 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: _____

ID/Drivers Licence/Passport Number: _____

Citizenship _____

Residence Address: _____

Business Address: _____

Email Address: _____

Occupation: _____

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

1. Have you at any time been charged or convicted of 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 expert witness? If so, give particulars:

3. Have you ever been the subject of any investigation/disciplinary procedures or been disciplined, censored 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 disciplined, censured, or sanctioned by or made the subject of a Court Order at the instigation of:

- a) Any Governmental or 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 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 or an entity to which you have been affiliated ever been adjudged bankrupt by a court in any Jurisdiction? _____

b) Was a receiving order made against you/ the company? _____

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 or an entity to which you have been or are affiliated? 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 in:-

- a) A Partnership_____
- b) A 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 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 conducted 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 the affairs of any company which has gone into liquidation during your tenure, or after the end of your tenure. 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, publicly criticized or sanctioned by:

a) A Governmental or 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) Name of Lender/Creditor/Financial Institution which extended the loan or credit:

b) Amount: _____

c) Type of credit extended, e.g Mortgage Loan, Commercial loan etc:

d) Maturity Date: _____

20. Has any person, firm or company guaranteed the indebtedness? If so, give the 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.*

Signature _____

Date _____

Attachments Required:

- (i) Proof of Citizenship
- (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.