



## PERSONAL QUESTIONNAIRE

**TO BE COMPLETED BY EACH BENEFICIAL OWNER (HAVING OWNERSHIP OF 5% OR MORE OF ANY CLASS OF SHARE), DIRECTOR, SENIOR OFFICER AND OTHER KEY MANAGEMENT STAFF OF THE APPLICANT**



## **INTRODUCTION**

Please complete this form; the answers should be typed and where more space is required continue on a separate sheet of paper with the heading "Continuation of Answer to Question number ...".

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

The information provided will be used to assess your fitness and propriety. However, the areas covered in this questionnaire are not exhaustive of the matters that the Regulator may consider in the evaluation process.

The Regulator 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 and where necessary, a written signed instruction to the relevant authority to supply information to the Regulator should be attached to the completed form (see authorisation form attached).

### **PLEASE NOTE:**

**AN INCOMPLETE QUESTIONNAIRE WILL AFFECT THE REGULATOR'S ASSESSMENT AND MAY RESULT IN DELAYS OR REJECTION OF THE APPLICATION FOR AN INTERNATIONAL BANKING LICENCE.**

**THE COMPLETED QUESTIONNAIRE AND SUPPORTING DOCUMENTS SHOULD BE SUBMITTED TO:**

**FINANCIAL SERVICES (REGULATION AND SUPERVISION) DEPARTMENT  
NEVIS ISLAND ADMINISTRATION  
P.O. BOX 689, MAIN STREET, CHARLESTOWN, NEVIS, ST KITTS AND NEVIS**



**PERSONAL QUESTIONNAIRE**

1. Name of the Applicant international bank for which this questionnaire is being completed

2. Position(s) held in the Applicant Bank as:

- a. Director
- b. Beneficial Owner
- c. Chief Executive Officer
- d. Senior Officer/ Key Staff

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 (current Passport/National ID) number

Paste your Passport size photograph here

6. Date of birth .....

7. Place of birth: Town/City/Country



8. Country of permanent residence

9. Address for correspondence

10. Contact numbers:

Office:	
Fax:	
Home:	Mobile:

11. E-mail address:

12. Nationality:

13. i) How was your nationality acquired

a. by birth

b. by naturalisation

c. by marriage

d. other

please specify

ii) State previous nationalities



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

<b>DATES</b>	<b>ADDRESS</b>

15. Academic Background:  
Provide details of any higher academic qualification and the year and place in which they were obtained (eg. BA; LLB; MBA; MA; MSc).

<b>TYPE OF DEGREE</b>	<b>SUBJECT</b>	<b>NAME AND ADDRESS OF INSTITUTION</b>	<b>YEAR OBTAINED</b>





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

<b>NAME, ADDRESS, PHONE &amp; FAX OF EMPLOYER</b>	<b>NATURE OF BUSINESS</b>	<b>POSITION AND DESCRIPTION OF DUTIES</b>	<b>DATES OF EMPLOYMENT</b>

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 or company secretary 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 service 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 licence 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 disciplinary enquiry? YES  NO

d. been censured, disciplined or criticized 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 company, partnership or unincorporated association?  
YES  NO

h. been adjudicated bankrupt by 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 or company secretary been compulsorily wound up or made a compromise or arrangement with its creditors or ceased trading 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, have you ever:
- a. been responsible in whole or in part for the financial institution 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 endeavoured 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?  
YES       NO

**IF YOU ANSWERED "YES" TO QUESTIONS 22 TO 25, PLEASE STATE ALL THE RELEVANT DETAILS FOR EACH OF THE QUESTIONS ON A SEPARATE SHEET OF PAPER.**



26. Identify all natural persons and body corporate who will be “connected persons<sup>1</sup>” of the applicant financial institution, if licensed, 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. Complete the authorization in Part A of the Banker’s Questionnaire providing the name of one bank whom you hereby authorise the Financial Services (Regulation and Supervision) Department to contact with a view to seeking information about how satisfactorily you have conducted your financial affairs over the previous 10 years. If you have changed banks/branches within the last 10 years, then complete Part A authorization for each bank/branch.
31. Attach a certified copy of your passport or driver’s license 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 likeness 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 Magistrate or Judge.

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<sup>1</sup> 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 above information is complete and correct to the best of my knowledge and belief and I undertake that, as long as I continue to be a director, senior officer, key management staff or holder of substantial interest authorised under the Nevis International Banking Ordinance 2014, I will notify the Nevis Financial Services (Regulation and Supervision) Department 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 license, the Nevis Financial Services (Regulation and Supervision) Department may revoke or vary the terms and conditions of the license.

I understand and accept that the Nevis Financial Services (Regulation and Supervision) Department 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 Nevis Financial Services (Regulation and Supervision) Department 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 on the enclosed letter the bankers named in this Questionnaire, together with any other person, body or institution (including the Police) which the Regulator may approach, to provide such information as the Regulator believes may be relevant to the assessment.

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

Name \_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_