



The Nevis Island Administration
Ministry of Finance and Development
Financial Services Regulation and Supervision Department
Control Person Questionnaire

1: Name of [Insurer] and Connection with the Applicant	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;">A</td> <td colspan="3">Name of Insurer/Applicant in Connection with which this form is being completed</td> </tr> <tr> <td>B</td> <td colspan="3">Type[s]/Category[y][ies] of Licence</td> </tr> <tr> <td>C</td> <td colspan="3">Connection with the Applicant</td> </tr> </table>			A	Name of Insurer/Applicant in Connection with which this form is being completed			B	Type[s]/Category[y][ies] of Licence			C	Connection with the Applicant											
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2: Name of Control Person	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Surname</td> <td style="width: 33%;">First Name</td> <td style="width: 34%;">Middle Name</td> </tr> </table>			Surname	First Name	Middle Name																		
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3: Biographical Details of Control Person	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Date of Birth</td> <td style="width: 33%;">Place of Birth</td> <td style="width: 34%;">Nationalit[y][ies]</td> </tr> <tr> <td colspan="2">Passport Number & Issuing State</td> <td></td> </tr> <tr> <td colspan="2">Social Security/National ID Number</td> <td></td> </tr> </table>			Date of Birth	Place of Birth	Nationalit[y][ies]	Passport Number & Issuing State			Social Security/National ID Number														
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5: Qualifications of Control Person * If Applicable	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Qualification</th> <th style="width: 17%;">Awarding Body</th> <th style="width: 17%;">Date Obtained</th> <th style="width: 33%;">Current Status*</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>			Qualification	Awarding Body	Date Obtained	Current Status*																	
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7: Reputation, Character and Conflicts of Interest	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;">A</td> <td style="width: 75%;">Are you currently the subject of bankruptcy, sequestration, or similar proceedings or are any such proceedings pending? If "Yes", attach relevant details.</td> <td style="width: 15%; text-align: center;"> <input type="checkbox"/> Y <input type="checkbox"/> N </td> </tr> <tr> <td>B</td> <td>Have you at any time been convicted of any offence involving fraud or other dishonesty or an offence under legislation (including insider dealing), relating to institutions providing financial services, insolvency, consumer credit or consumer protection or any other statutory offence other than a road traffic offence? If "Yes" give particulars.</td> <td style="text-align: center;"> <input type="checkbox"/> Y <input type="checkbox"/> N </td> </tr> <tr> <td>C</td> <td>Have you been dismissed or requested to resign from any office or employment, removed from any fiduciary office or position of trust, subject to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If "Yes" attach relevant details.</td> <td style="text-align: center;"> <input type="checkbox"/> Y <input type="checkbox"/> N </td> </tr> <tr> <td>D</td> <td>Have you ever been disqualified from acting as a director of a company, or from action in the management or conduct of the affairs of any company, trust, other legal entity or unincorporated association? If "Yes" attach relevant details.</td> <td style="text-align: center;"> <input type="checkbox"/> Y <input type="checkbox"/> N </td> </tr> <tr> <td>E</td> <td>Have you ever in connection with the formation, administration or management of any legal entity, trust, or unincorporated entity, been adjudged by a court to be civilly liable for any fraud, malfeasance, or wrongful trading or other misconduct by you, towards any members or creditors of such a body? If "Yes", attach relevant details.</td> <td style="text-align: center;"> <input type="checkbox"/> Y <input type="checkbox"/> N </td> </tr> <tr> <td>F</td> <td colspan="2">State here any conflicts of interest that you may be subject to in the discharge of your duties. You may also state any other material information, which you consider relevant to the assessment of your expertise, experience and record.</td> </tr> </table>			A	Are you currently the subject of bankruptcy, sequestration, or similar proceedings or are any such proceedings pending? If "Yes", attach relevant details.	<input type="checkbox"/> Y <input type="checkbox"/> N	B	Have you at any time been convicted of any offence involving fraud or other dishonesty or an offence under legislation (including insider dealing), relating to institutions providing financial services, insolvency, consumer credit or consumer protection or any other statutory offence other than a road traffic offence? If "Yes" give particulars.	<input type="checkbox"/> Y <input type="checkbox"/> N	C	Have you been dismissed or requested to resign from any office or employment, removed from any fiduciary office or position of trust, subject to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If "Yes" attach relevant details.	<input type="checkbox"/> Y <input type="checkbox"/> N	D	Have you ever been disqualified from acting as a director of a company, or from action in the management or conduct of the affairs of any company, trust, other legal entity or unincorporated association? If "Yes" attach relevant details.	<input type="checkbox"/> Y <input type="checkbox"/> N	E	Have you ever in connection with the formation, administration or management of any legal entity, trust, or unincorporated entity, been adjudged by a court to be civilly liable for any fraud, malfeasance, or wrongful trading or other misconduct by you, towards any members or creditors of such a body? If "Yes", attach relevant details.	<input type="checkbox"/> Y <input type="checkbox"/> N	F	State here any conflicts of interest that you may be subject to in the discharge of your duties. You may also state any other material information, which you consider relevant to the assessment of your expertise, experience and record.				
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9: Declaration	<p>I confirm that the information supplied is complete and correct, and believe that there are no other facts of which the Minister of Finance should be aware. I undertake to inform the Minister and the Registrar, immediately, of any significant changes to the information supplied in this form.</p> <p>You should be aware, before signing this declaration, that it is an offence to knowingly or recklessly provide the Minister or the Registrar with information which is false in a material particular.</p>																							
10: Signature	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Name</td> <td style="width: 33%;">Date</td> <td style="width: 34%;">Signature</td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>			Name	Date	Signature																		
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This form should be completed by EACH Control Person of the applicant [1. above] in respect of an application being made under the Nevis International Insurance Ordinance, 2004, as amended.

"Control person" includes, but is not limited to, any director, officer, manager or shareholder of an entity in relation to which or on whose behalf an application is being made. It may also include undisclosed persons, on whose instructions, whether direct or indirect, any of the above persons or related parties may act with a view to directing the affairs of the entity or related parties for which the application is being made.

If any of the above Control Persons is a legal entity or trust [e.g. if the applicant has a corporate parent], this form should be completed by the "Control Person[s]" of that entity [e.g. corporate parent] as well, the aim being to perform due diligence on the natural persons ultimately controlling and or deriving ultimate beneficial interest in the applicant.