



Questionnaire For Directors

Of a Corporate Controller of a bank to be incorporated
in the Kingdom or by directors of a bank established in
a third country submitting an application for the
establishment of a branch

Filling in this questionnaire

- This Questionnaire must be completed and be duly signed by the director concerned.
- The space provided after each question in the questionnaire, is NOT indicative of the extent of the expected answer.
- If you provide false or misleading information or knowingly avoid disclosing significant information, you place in jeopardy your integrity and consequently, your suitability for acting as a director.

This questionnaire should be submitted to:

CENTRAL BANK OF COLONIA LICENSING SECTION

APPLICANT INFORMATION

A) Name of Applicant in relation to which this questionnaire is being completed:

B) Name of Corporate Controller:

Or Name of bank established in third country wishing to establish a branch

C) Name of Director

CONTACT INFORMATION

Title:

First Names:

Surname:

Job Title:

Company Name:

Business Address:

Postcode:

Telephone Number (Inc Area Code):

Mobile Number (Optional):

Email Address:

Contents

- 1 Personal Details
- 2 Curriculum Vitae
- 3 Investments In Organisations
- 4 Fitness And Propriety
- 5 Other Relevant Information
- 6 Sources Of Information
- 7 Declaration/Letter Of Authorisation

1. PERSONAL DETAILS

Full Name:

Title:

Date And Place Of Birth:

Nationality:

Current Residential Address:

Dates Resident At This Address: From

(If your current residential address has changed in the last three years, please provide details of all previous addresses of the last three years)

Previous Address:

Dates Resident At This Address: From: To:

2. CURRICULUM VITAE

Please attach as Appendix 1 a recent Curriculum Vitae (CV) which should include, at least, the following:

- **Employment history:**

This should include details and information about your employment, during the last 10 years, starting from the most recent one. Please include in your CV significant information which would be of interest to the Central Bank, such as the reasons for the termination of employment, or information about periods during which you had been unemployed. The CV should include the following information for each period of employment:

- date of commencement and termination of employment
- name, postal address, fax/e-mail and nature of employer's business
- contact person
- position held, key areas of responsibility and reasons for leaving
- experience and knowledge obtained relevant to banking business

- Academic and professional qualifications. Please attach certified copies of the relevant certificates.
- Other relevant training or experience
- Current memberships of relevant professional bodies, year of admission and the body's full particulars. Certified copies of the relevant certificates should also be attached to the CV.
- A criminal record as well as non-bankruptcy certificate should also be attached to the CV

2. CURRICULUM VITAE

Are you currently holding or were you previously approved or refused by the Central Bank of Colonia or by any other regulatory authority, to hold the position of a director or of a manager of a bank or of an investment firm or of any other financial services firm?

YES or NO If Yes, please state:

I am approved by and hold the position of in
.....

In the past I had been approved by to hold the position of
..... in

In the past I had been approved by to hold the position of
..... in

due to the fact that

Legal obligations and compliance with the directives of the CBC

If you intend to hold any position in the Applicant, please state so and confirm your understanding and awareness of your responsibilities relating to the proposed position and confirm your intention to comply with the relevant legislation and regulations, on a continuous basis. Please delete as appropriate:

• Yes, I intend to hold the position of, I am aware of my responsibilities and I shall comply with the relevant legislation and regulations on a continuous basis.

• No, I shall not hold a position.

3. INVESTMENTS IN ORGANISATIONS

3.1 Of which body corporates are you currently a Director, shareholder or controller and in what countries are these incorporated? State, if you are aware, whether any of these body corporates maintain or intend to enter into a business relationship with the Applicant.

Name And Country Of Incorporation of Country	% Shareholding / % Of Voting Rights	Are you currently a Director?

3. INVESTMENTS IN ORGANISATIONS

3.2 Do you have any other personal or business interests that may conflict with the business activities of the Applicant?

YES or NO

If Yes, please provide full details:

3.3 Please state how many shares or share options of the Applicant will be registered in your name (including any holdings which will be held on your behalf), or in the name of an associate¹.

Number Of Shares -----

Number Of Shares Options -----

Voting Rights -----

4. FITNESS AND PROPRIETY

4.1 Have you ever been convicted, in Colonia or elsewhere, of any offence involving fraud, theft, false accounting or other dishonesty?

YES or NO

4.2 Have you ever been convicted, in Colonia or elsewhere, of any offence related to companies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?

YES or NO

4.3 Have you ever been convicted, in Colonia or elsewhere, of any offences other than those listed in 4.1 and 4.2 that are not spent? (Do not include traffic offences unless these traffic offences resulted in a ban from driving or involved driving without insurance.)

YES or NO

4.4 Have you ever been given a caution in relation to any criminal offence?

YES or NO

4.5 Are you the subject, in Colonia or elsewhere, of any current criminal investigation or proceedings?

YES or NO

4.5 Are you or have you ever been the subject, in Colonia or elsewhere, of any civil proceedings, arbitration or litigation, including proceedings that may lead to a Court Judgement (CJ) or other judgement debts?

YES or NO

¹"Associate" has the meaning ascribed to it in Part I of the Banking Law No. 66(I) of 1997, as subsequently amended.

**4. FITNESS AND
PROPRIETY**

4.6 Are you aware of anybody's intention, in Colonia or elsewhere, to take any civil proceedings, arbitration or litigation, including proceedings that may lead to a CJ or other judgement debts against you?

YES or NO

4.7 Do you have any judgement debts (including CJs) in Colonia or elsewhere, made under a court order still outstanding, whether in full or in part?

YES or NO

4.8 Have you ever failed to satisfy any judgement debts (including CJs) in Colonia or elsewhere, within one year of the order being made?

YES or NO

4.9 Are you or have you ever been the subject in Colonia or elsewhere of any bankruptcy proceedings, or proceedings for the sequestration of your estate?

YES or NO

4.10 Have you ever entered into a deed of arrangement or an individual voluntary arrangement or other agreement, in Colonia or elsewhere, in favour of your creditors?

YES or NO

4.11 Do you or any undertaking under your management have any outstanding financial obligations arising from regulated activities, carried on in the past, in Colonia or elsewhere?

YES or NO

4.12 Have you or any undertaking under your management ever been found guilty of carrying on any unauthorised regulated activities, or been investigated for possible carrying on of unauthorised regulated activities?

YES or NO

4.13 Are you or have you ever been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?

YES or NO

4.14 Have you ever, in Colonia or elsewhere, been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust, whether or not remunerated?

YES or NO

4.15 Have you ever, in Colonia or elsewhere, been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?

YES or NO

**4, FITNESS AND
PROPRIETY**

4.16 Have you ever, in Colonia or elsewhere, been disqualified by a court from acting as a director of a company, or from acting in a management capacity, or conducting the affairs of any company, partnership or unincorporated association?

YES or NO

4.2 ACTIVITIES REGULATED BY THE CBC OR ANOTHER REGULATORY BODY

4.2 Have you or has any company, partnership or unincorporated association for which you are or were a controller, director, senior manager, partner or company secretary, during your association with that entity and for a period of three years after you ceased to be associated with it:

4.21 Been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by any regulatory or government body?

YES or NO

4.22 Been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?

YES or NO

4.23 Resigned while under investigation by, or been required to resign from any regulatory body?

YES or NO

4.24 Made an application to any regulatory body for any of the following and decided not to proceed with it? (Licence, Authorisation, Registration, Notification, Membership, Other permission)

YES or NO

4.25 Had a finding against you in any civil action in relation to any activities regulated by any regulatory body?

YES or NO

4.3 YOUR INVOLVEMENT IN OTHER ORGANISATIONS

Has any company, partnership, or unincorporated association of which you are or were a controller, director, senior manager, partner, or company secretary, in Colonia or elsewhere, at any time during your involvement or within one year of your involvement:

4.31 Been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES or NO

4.32 Been adjudged by a court as liable for any fraud, misfeasance, wrongful trading or other misconduct?

YES or NO

**4. FITNESS AND
PROPRIETY**

4.33 Been investigated, or been involved in an investigation, by an inspector appointed under companies or any other legislation?

YES or NO

4.34 Been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, or by any governmental or statutory authority or any other regulatory body?

YES or NO

4.35 Do you have any personal or business interests, employment obligations, or any other situations that may conflict with your role as a controller of the applicant or your position at the controller?

YES or NO

4.36 Has an assessment of reputation as a controller or director of a financial institution already been conducted by another supervisory authority?

YES or NO

If yes, give identity of authority below and attach evidence of the assessment and its outcome.

4.37 Has an assessment already been conducted by another authority from another, non-financial sector?

YES or NO

If yes, give identity of authority below and attach evidence of the assessment and its outcome.

4.38 Are you aware of any other information relevant to this notification that we would reasonably expect you to give?

YES or NO

4.39 If you have answered yes to any of questions 4.1 to 4.38, please give clear details on a separate sheet of paper. You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documentation.

5. OTHER RELEVANT INFORMATION

Please state any other information which you may wish to disclose:

6. SOURCES OF INFORMATION

Please note that the Central Bank of Colonia may approach all your current and ex-employers as listed above.

Furthermore, you are requested to provide below the names of two additional referees (such as business associates, bankers, banking supervisory, financial/ investment regulatory authorities, etc.,) which may be approached directly by the Central Bank of Colonia, for the purpose of obtaining references about your person. Full particulars of the above sources, should be provided (i.e. Name, relationship/ connection with yourself, contact name (if the source of reference is a legal person), occupation (if the source of reference is a natural person), full postal address or electronic address).

For the above purpose, please sign the attached "Declaration"/"Letter of Authorisation", which will enable the Central Bank of Colonia to obtain and/or exchange information from third parties.

Please confirm that you consent to the Central Bank of Colonia approaching all of your ex-employers at this stage.

YES or NO

If no, please provide explanations:

7. DECLARATION/LETTER OF AUTHORISATION

I, the undersigned ----- (Full Name) declare that:

(a) the information supplied in this questionnaire is complete and correct to the best of my knowledge and belief and I agree to provide the Central Bank of Colonia, with any supplementary information and / or clarifications, it may require, in connection with the completion of this questionnaire.

(b) I understand it is an offence knowingly or recklessly to give the CBC information that is false, misleading or deceptive.

(c) I, hereby, irrevocably authorise the Central Bank of Colonia as well as its officers or employees to obtain and / or exchange information, as deemed necessary by them, with any third party such as banks, any foreign banking or financial / investment or insurance supervisory / regulatory authorities etc, for the purpose of verifying the information given on this form.

(d) In addition, I irrevocably authorise the Central Bank of Colonia to require from the appropriate organs any information deemed necessary for purposes of confirmation of any information, and data, included in this form.

I, hereby, irrevocably authorise and freely give my explicit consent to the Central Bank of Colonia, with the present declaration and with complete conscience, to treat my personal data, which I have already given or which I will be giving in future to the Central Bank of Colonia, sensitive or not, according to the Processing of Personal Data (Protection of Individuals Law) of 2001.

I understand that all my personal data will be considered as confidential, as per the provisions of the above Laws, and will enjoy confidential treatment by the Central Bank of Colonia and its duly authorised and suitably trained for handling such data employees and that any information which concerns me will not be divulged to any third person, except in the cases listed below.

- Upon my request or my consent.
- When I have been declared bankrupt.
- When it is required by Law or a Court Order
- When it is divulged in the context of a judicial process between us.
- When it is divulged for reasons of public of interest or for the protection of the interests of the Central Bank of Colonia.
- When it is divulged for the purposes of maintaining the "Central Information Register for Issuers of Dishonoured Cheques and Other Related Matters" administered by the Central Bank of Colonia.
- When it is divulged to business associates of the Central Bank of Colonia who provide services concerning its computerised system(s).

I also, hereby, give my explicit consent for the interconnection and cross-correlation of files which hold my personal data which are maintained by the Central Bank of Colonia as well as for divulging the data in question, subject to the cases listed above, to other Member States of the European Union or to other non-member States.

I understand that, according to the provisions of the Processing of Personal Data (Protection of Individuals) Law 2001, I have the right of access, the right of requesting corrections of the data in question as well as the right of objection, all of which should be expressed in writing and by paying an appropriate fee. I understand that whenever I am required and / or it is deemed appropriate by the Central Bank of Colonia, I will offer my assistance and cooperation in order to achieve compliance with the above. I, finally, understand that responsible for the processing of my personal data is the Central Bank of Colonia.

**7. DECLARATION/LETTER
OF AUTHORISATION**

This declaration applies to both current as well as to any future data and information related to me. In this document, the singular includes the plural and the male gender includes the female.

Signature

Name And Title

Date

