

## **Personal Questionnaire for Directors, Shareholders, Managers, Officers and Controllers\*<sup>1</sup>**

### **THE INTERNATIONAL BANKING ACT**

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| 1. | Name of the institution in connection with which this questionnaire is being completed.                                |  |
| 2. | Surname<br>Forename(s)<br>Any previous name(s) by which you have been known.<br>Gender (Male/Female)                   |  |
| 3. | Are you completing this questionnaire as a Director, Shareholder, Manager, Officer or Controller? (See note on page 4) |  |
| 4. | Private address  |  |
| 5. | Previous private addresses during the last ten years (with relevant dates)   |  |
| 6. | Date of Birth<br>Place of birth (including town, state and country)  |  |
| 7. | Nationality, and how it was acquired (e.g. birth, naturalization, marriage)  |  |
| 8. | Identification number (Passport #, Tax Identification # or specify other type)   |  |

\*<sup>1</sup> Except when exempted by the Governor of the Reserve Bank of Vanuatu, this form is to be completed by all persons seeking approval to become directors, shareholders, managers, officers or controllers of an institution which is licensed or applying to be licensed under the above laws.

**If insufficient space is provided, please attach a separate sheet of paper**

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| <p>9. Present occupation or employment and occupations and employment during the last ten years, including the name of the employer, the nature of business, the position held and relevant dates, leaving no period unaccounted for, and including for each employment;</p> <p>i. the title of your position,<br/> ii. the dates of employment,<br/> iii. the name and address of your employer, and<br/> iv. the name, position and telephone number of a reference.</p>  |  |
| <p>10. Of what bodies corporate –</p> <p>(a) are you now a director or controller?<br/> (b) have you been a director or controller at any time during the last ten years?</p> <p>(specify the country of incorporation in each case &amp; nature of business)</p>   |  |
| <p>11. Details of shareholding interest in financial institutions*<sup>2</sup> (current and last ten years)</p> <p>(a) name of company<br/> (b) country of incorporation<br/> (c) percentage holding<br/> (d) nature of business</p>  |  |
| <p>12. (a) Professional qualifications and year in which they were obtained.<br/> (b) Academic qualifications</p>   |  |
| <p>13. Have you at any time been involved with an application for regulatory approval in any other jurisdiction where that application has been refused or withdrawn?</p>   |  |
| <p>14. Have you at any time been charged or convicted of any offence (other than (a) an offence committed when you were under the age of 18 years unless the same was committed within the last ten years, or (b) an offence in connection with the use or ownership of a motor vehicle which was tried in a court of summary jurisdiction) by any court, whether civil or military, in any jurisdiction? If so, give full particulars of the charge and if convicted, the date of conviction, the offence and the penalty imposed.</p> |  |
| <p>15. Have you ever, at any time, been the subject of an investigation in relation to a financial institution? If so, give full particulars.</p>   |  |

\*<sup>2</sup> Shareholding interest in Banks, Trust Companies, Insurance Companies, Investment Companies, other greater than 10%.

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| <p>16. Have you, anywhere, been censured, disciplined or criticised by any professional body to which you belong or have belonged, or have you ever held a practising certificate subject to conditions? If so, give full particulars.</p>   |  |
| <p>17. 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 full particulars.</p>   |  |
| <p>18. Have you, or any body corporate, partnership or unincorporated institution with which you are, or have been associated as a director, shareholder, manager, officer or controller, been the subject of an investigation, anywhere, by a governmental, professional or other regulatory body?<br/>If so, give full particulars.</p>                                  |  |
| <p>19. Have you, anywhere, been dismissed from any office or employment or barred from entry to any profession or occupation? If so, give full particulars</p>   |  |
| <p>20. Have you been adjudicated bankrupt by a court in any jurisdiction? If so, give full particulars.</p>  |  |
| <p>21. Have you failed to satisfy any debt adjudged due and payable by you as a judgement-debtor under an order of a court in any jurisdiction? If so, give full particulars.</p>  |  |
| <p>22. Have you, in connection with the formation, control or management of a body corporate, partnership or unincorporated institution been adjudged by a court, in any jurisdiction, civilly or criminally liable for any fraud, misfeasance or other misconduct by you towards such a body or company or towards any members thereof? If so, give full particulars.</p> |  |

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| <p>23. Has any body corporate, partnership or unincorporated institution with which you were associated as a director, shareholder, manager, officer or controller, anywhere, been compulsorily wound up or made any 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 ? If so, give full particulars.</p> |  |
| <p>24. Has any body corporate, partnership or unincorporated institution with which you were associated as a director, shareholder, manager, officer or controller, anywhere, had its authorization revoked?</p>   |  |
| <p>25. In carrying out your duties will you be acting on the directions or instructions of any other person? If so, give full particulars</p>  |  |

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, shareholder, manager, officer or controller of an institution authorized under the above laws, I will notify the Reserve Bank of Vanuatu of any material changes affecting the completeness of the answers to questions 11-25 above within a period of twenty-one days.

Date: \_\_\_\_\_

Signed: \_\_\_\_\_

**NOTE**

**CONTROLLERS**

A Controller includes

- (1) any person who is entitled to exercise control of 10% or more of the voting power over the institution or over another company of which it is a subsidiary:
- (2) any person, whether a shareholder or not, in accordance with those directions or instructions the directors of the institution, or of another company of which it is a subsidiary, are accustomed to act.

Where a controller is a body corporate the Reserve Bank will look through that body to the ultimate controller from whom the above information will be sought.