

CENTRAL BANK OF THE GAMBIA

BANKING AND FINANCIAL INSTITUTIONS SUPERVISION DEPARTMENT

QUESTIONNAIRE FOR INDIVIDUALS WHO ARE PROPOSED TO BECOME DIRECTORS, MANAGERS OR CONTROLLERS

- (1) Name and address of your bankers within the last 10 years.
- (2) Your professional qualifications and year they were obtained.
- (3) Your occupation and employment now and during the last 10 years including the name of the employer in each case, the nature of the business, the position held and relevant dates.
- (4) Of what bodies corporate (other than the institution) are you now a director, controller or manager? Give relevant dates and, if you are a controller of any such bodies corporate, indicate in what sense.
- (5) Are you a significant shareholder of any body corporate (other than the institution) which is now licensed or has applied for a licence from the Central Bank? If so give particulars.
- (6) Of what bodies corporate other than the institution and those listed in answer to question 4 have been a director, controller or manager at anytime during the last 10 years? Give relevant dates.
- (7) Have you at anytime been convicted of an offence? If so, give particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction.
- (8) Have you or any body corporate, partnership or unincorporated institution with which you are or have been associated as a director, controller or manager been the subject of an investigation, in The Gambia or elsewhere by or at the instigation of a government department or agency, professional association or other regulatory body. If so, give particulars.
- (9) Have you in The Gambia or elsewhere been dismissed from any office or employment subject to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If so, give particulars.

- (10) Have you failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a court in The Gambia or elsewhere or made any compromise arrangement with your Gambia or elsewhere or made any compromise arrangement with your creditors within the last 10 years? If so, give particulars.
- (11) Have you been adjudicated bankrupt by a court in The Gambia or elsewhere or has a bankruptcy petition ever been served on you? If so, give particulars.
- (12) Have you, in connection with the formation or management of 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 members thereof? If so, give particulars.
- (13) Has any body corporate with which you were associated as a director, controller or manager been wound up, made subject to an administration order, otherwise made any compromise or arrangement with its creditors or ceased trading either while you were associated with it or within one year after you ceased to be associated with it or has anything analogous to any of these events occurred under the laws of any other jurisdiction? If so, give particulars.
- (14) Have you been concerned with the management or conduct of affairs of any institution which, by reason of any matter relating to a time when you were so concerned, has been censured, warned as to future conduct, disciplined or publicly criticized by, or made the subject of a court order at the instigation of, any regulatory authority in The Gambia or elsewhere? If so, give particulars.