

CENTRAL BANK OF THE GAMBIA

BANKING AND FINANCIAL INSTITUTIONS SUPERVISION DEPARTMENT

QUESTIONNAIRE FOR INSTITUTIONAL INVESTORS

- (1) Name and address of institution's bankers within the last 10 years.
- (2) Names and positions of all directors of the institution.
- (3) Names of all the controllers/shareholders of the institutions, indicating in what sense.
- (4) Names of all licensed financial institutions, other than the applicant institution, of which the controller is also a controller or a significant shareholder, indicating the sense in which it qualifies as such with respect to each.
- (5) Has the institution or any company in the same group made any compromise or arrangement with its creditors within the last 10 years or otherwise failed to satisfy creditors in full? If so, give particulars.
- (6) Has a receiver or administrative receiver of any property of the institution or of any company in the same group been appointed in The Gambia or has the substantial equivalent of any such person been appointed in any other jurisdiction, in the last 10 years? If so, give particulars, including whether the receiver or equivalent is still acting under appointment.
- (7) Is any inspector or other authorised officer of any government department or agency, professional association or regulation body appointed in the Gambia or has the substantial equivalent of any such person been appointed in any other jurisdiction, in the last 10 years? If so, give particulars, including whether the receiver or equivalent is still acting under appointment.
- (8) Is an inspector or other authorised officer of any government department or agency, professional association or regulation body appointed under any Gambian or overseas enactment investigating, or has such an investigation ever previously taken place into, the affairs of the institution or any company in the same group?

Controller, in Relation to an Institution means -

- (a) Managing Director of the institution or of another institution of which it is a subsidiary or, in the case of an institution which is a partnership, a partner;
- (b) A Chief Executive of the institution or of another institution of which it is a 'subsidiary';
- (c) A person in accordance with whose directors or instructions the directors of the institution or of another institution of which it is a subsidiary are accustomed to act (referred to as 'indirect controller').