

CENTRAL BANK OF THE GAMBIA

**BANKING AND FINANCIAL INSTITUTIONS SUPERVISION
DEPARTMENT**

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

1.4 *Country and Place of Birth*

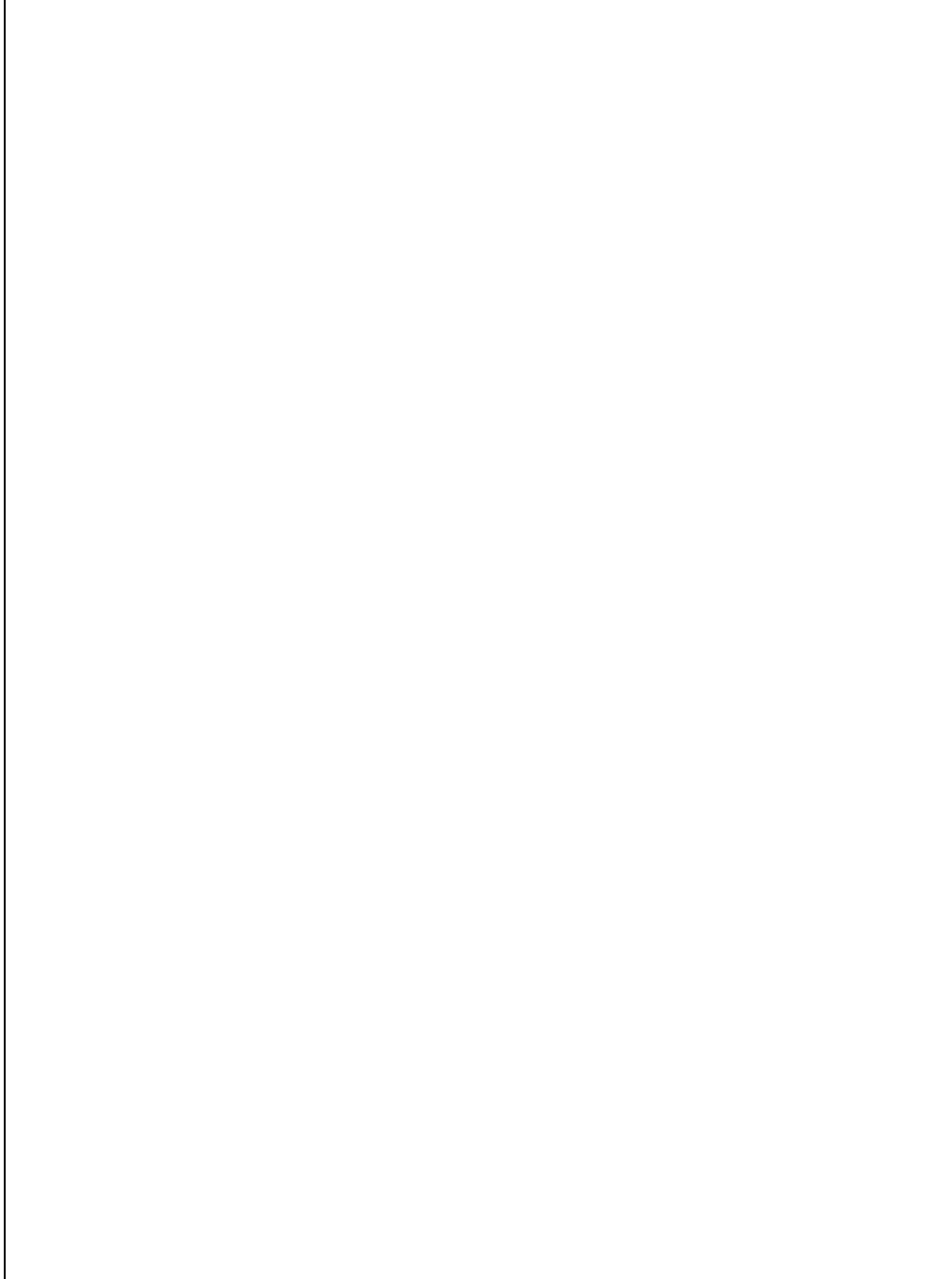
1.5 *Nationality*

1.6 *Private Address (please indicate if you have been at this address for less than six months)*

1.7 *Has your address changed in the last five years? If YES, please also give your previous address(es).*

1.8 *Details of passport Number, Place of Issue and Expiry date.*

- 1.9 *Please state below the position held or to be held in the investment business firm and provide a brief outline of the responsibilities of that position.*

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2. Experience

Your occupation and employment now and during the last ten years including the name of the employer in each case, the nature of the business, the position held and relevant dates.

Date from/to (month/year)	Firm's Name, address and Business	Position Held and Reason for Leaving

3. Qualifications

3.1 Please provide details of any professional or academic qualifications or memberships and relevant training.

Qualification	Date Obtained

Memberships	Date Joined

Other Relevant Training	Date Undertaken

4. MEMBERSHIP IN OTHER BODY CORPORATE

4.1 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.

INSTITUTIONS	DATES	POSITIONS
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4.2 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.

Name of company	% Shareholding

5. BANKERS

Please provide names and address of your bankers within the last 10 years.

Name	Address

- 6. GOOD REPUTATION & CHARACTER**
Please enter a tick (✓) where appropriate.

- | | | | |
|-----|---|------------|-----------|
| 6.1 | Have you at any time been convicted of an offence? | Yes | No |
| 6.2 | Have you been subject to penalties for tax evasion? | Yes | No |
| 6.3 | 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 creditors within the last 10 years? | Yes | No |
| 6.4 | Have you been adjudicated bankrupt by a court in The Gambia or elsewhere or has a bankruptcy petition ever been served on you. | Yes | No |
| 6.5 | Have you or any 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 government department or agency, professional association or other regulatory body? | Yes | No |
| 6.6 | 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? | Yes | No |
| 6.7 | Have you, in connection with the formation or management of nay 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? | Yes | No |
| 6.8 | Has any body corporate with which you are 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? | Yes | No |
| 6.9 | Have you been concerned with the management or conduct of affairs of any institution which, by reasons of any matter relating to a time when you were so concerned, has been censured, warned as to future conduct, disciplined or publicly criticised by, or made the subject of a court order at the instigation of, any regulatory authority in The Gambia or elsewhere? | Yes | No |



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QUESTIONNAIRE FOR INSTITUTIONAL INVESTORS

☞ **This form must be completed by all institutional investors in assisting the Bank to assess their probity and competence.**

**Applicant/ Authorised
Investment business firm**

Please use **black ink** and **BLOCK CAPITALS** for all answers.

Personal Details

1.

Name of Bank	Address

2. Names and positions of all directors of the institution

NAMES	POSITIONS

3. **Names of all the controllers/shareholders of the institutions, indicating in what sense.**

Names	Position held	% Shareholding

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 the controller is also a

controller or a significant shareholder, indicating the sense in which it qualifies as such with respect to each.

INSTITUTION	% SHAREHOLDING

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 **Yes No**

so give particulars.

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| 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. | Yes No |
| 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. | Yes No |
| 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 investigation ever previously taken place into, the affairs of the institution or any company in the same group? | Yes No |

Controller, in relation to an institution means:-

- a. Managing Director of the institution or 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 those 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').***

7. Qualifications

7.1 Please provide details of any professional or academic qualifications or memberships and relevant training.

Qualification	Date Obtained

Memberships	Date Joined

Other Relevant Training	Date Undertaken

8. GOOD REPUTATION & CHARACTER
Please enter a tick (✓) where appropriate.

- | | | | |
|-----|--|-----|----|
| 4.1 | Have you been convicted of any offence involving fraud, dishonesty, breach of trust, in the Gambia or elsewhere? | Yes | No |
| 4.2 | Have you been subject to penalties for tax evasion? | Yes | No |
| 4.3 | Have you at any time, in the Gambia or elsewhere, been declared bankrupt, or entered into any compromise with creditors, or failed to satisfy a judgement debt under a Court Order made in the Gambia or elsewhere within one Year of the making of the Order. | Yes | No |
| 4.4 | Have you ever been refused entry to any profession or been dismissed or requested to resign from any office or employment, or from any fiduciary office or position of trust, whether or not remunerated? | Yes | No |
| 4.5 | Have you ever to your knowledge been the subject of an investigation | Yes | No |

