

## FIT AND PROPER QUESTIONNAIRE (INDIVIDUAL PENSION TRUSTEE)

Application Number: (For official use only)	
Name of Applicant:	

## **GLOSSARY**

- 1. "Corporation" means: Any body corporate, incorporated in Jamaica or elsewhere.
- 2. "Relevant Activity" means: (a) Banking, finance, insurance, money-lending, money management, cambio operations, bureau de change, foreign exchange remittance business, debt-factoring, hire purchase financing, leasing or other financial activities (b) Dealing in Securities (c) Providing investment or financial advice and management services.
- 3. "Immediate Relative" as respects any person, means: The spouse, children (including stepchildren) and their spouses, parents, and brothers or sisters of that person.

1.	Name of Trustee:	=	
2.	Name of Superannuation Fund or Retirement scheme in connection with which this questionnaire is being completed:	_	
3.	(a) Occupation: (b) Name of Employer:		
4.	Have you at any time been charged with, convicted of any offence, or otherwise found liable by Civil, Criminal or Military Court (excluding minor road traffic offences) whether in Jamaica or elsewhere?	Yes	No
5.	Has suit ever been brought against you in your personal capacity or against any body corporate, partnership, society or any other business undertaking to which you are/were connected as a shareholder, partner, director or manager?	Yes	No
6.	Have you ever been refused entry to any profession or vocation whether in Jamaica or elsewhere?	Yes	No
7.	Have you ever been the subject of investigation/disciplinary procedures, censured, disciplined or publicly criticised by any professional body to which you belong or have belonged whether in Jamaica or elsewhere?	Yes	No
8.	Have you ever been dismissed or requested to resign from any office or employment whether in Jamaica or elsewhere?	Yes	No
9.	Have you ever been censured, disciplined or publicly criticised by, or made the subject of a Court Order whether in Jamaica or elsewhere?	Yes	No
10.	Have you ever, in any jurisdiction:		
	a. been adjudged bankrupt by a Court?	Yes	No
	b. had a receiving or administrative order made against you?	Yes	No
	c. had your estate sequestrated?	Yes	No
	d. entered into any arrangement, or other composition with your creditors?	Yes	No
11.	Has any bank or other financial institution with which you or any business undertaking owned, controlled or managed by you does business, ever threatened or commenced legal action/court proceedings or declined doing any new business with you or your undertaking as a result of outstanding debts owed by you or the undertaking, or due to your not honouring other facilities afforded you (e.g. guarantee, etc.) by these institutions?	Yes	No
12.	Do you (in your personal capacity or through any entity controlled by you) and/or an immediate relative have outstanding any loans or other forms of indebtedness, inclusive of the guarantee of the debts and obligations of any third party, in excess of J\$500,000.00?	Yes	No
13.	Has any loan or credit facility (or part thereof) extended to you by any financial or lending institution, been restructured, renegotiated, provided against or been the subject of a write-off or debt forgiveness for reasons of non-payment by you?	Yes	No
14.	Has any financial or lending institution (which has extended credit facilities to you), had to refer, assign or sell your loan./indebtedness to any private or public sector collection agency or any other institution for reasons of non-payment by you?	Yes	No

## **AFFILIATIONS WITH BODIES CORPORATE**

soc	we you ever been or are you currently a Director of any limited liability companies, or ieties, or other business enterprises engaged in relevant activities, as described in the glossary he end of this form?	Yes	No
	ve you ever been or are you currently a Director of any limited liability companies, societies other business enterprises other than those stated on the previous questions?	Yes	No
of i	ve you ever been or are you currently a beneficial owner or shareholder (holding at least 10% ssued share capital) in any limited liability companies or other corporations engaged in evant activities described in the glossary at the end of this form?	Yes	No
	you a beneficial owner of <u>any controlling interest</u> in any body corporate, partnership, society other business undertaking	Yes	No
	ether in Jamaica or elsewhere, have you ever been a shareholder, director of, or directly concerned in the agement of a bank, financial institution, or any other business undertaking:		
a)	Which has been served with a petition to wind up?	Yes	No
b)	Which has been wound up by a Court?	Yes	No
c)	The licence of which has been revoked?	Yes	No
d)	Which has been placed in receivership?	Yes	No
e)	Which has entered into any arrangement or other composition with its creditors?	Yes	No
f)	Which has had an administrative order made against it?	Yes	No
g)	Which has been sued?	Yes	No
h)	Which has been the subject of censure action by any body that exercises supervisory or regulatory jurisdiction over it?	Yes	No
i)	Whose business has been adjudged to have been conducted imprudently or fraudulently?	Yes	No
j)	Which has failed to meet the solvency requirements prescribed by Law or by licensing or supervisory authority?	Yes	No
k)	To which financial assistance has been given by a government agency to effect a restructuring?	Yes	No
1)	Which has been placed under Temporary Management/Judicial Management; which has been the subject of administrative censure or penalty; or formal statutory censure action or which has been the subject of a Vesting order or any other intervention process by the relevant regulatory authority?	Yes	No
m)	Which has gone into liquidation, whilst you were associated with, or within two years of your association with the entity?	Yes	No
	<b>DECLARATION</b>		
ſ	declare that the answers to the above questions are true.		
	Dated the day of		
	(date) (month) (year)		
Sig	ned by the said )		
in t	) Signature ne presence of:		

If the response to any of questions numbered 4 through 19 is yes, Please attach details (include dates, name of court and jurisdiction where applicable) for each such response.

Attachments: A Police Report must be submitted with this form