



FIT AND PROPER QUESTIONNAIRE/ASSESSMENT FOR INDIVIDUALS

SECTION I – GENERAL

1. Name of SME in connection with which this questionnaire is being completed:

SECTION II – PERSONAL DETAILS OF PROPOSED INDEPENDENT MENTOR/DIRECTOR/SENIOR OFFICER

2. Surname of person making declaration (No Initials):

3. Forename (s) (No Initials):

4. Other Names Used (Trade Names, Aliases):

5. Private Local Residential Address (No P.O. Box Number):

(Home):

6. Private Overseas Residential Address

7. Previous private address (es) during the last ten years (with relevant dates).

8. Occupation:

9. Tax Registration No.:

10. Place of Birth (including town and country):

11. Date of Birth:

Day Month Year

12. Nationality:

13. If Naturalized Citizen, Indicate Date of Naturalization and Certificate No.:

14. If you are not a Citizen of Trinidad and Tobago, complete the following:

Visa Type and No.: _____ Passport Type and No.:-

Alien Identification No.: _____

If you are exempt from holding a Visa, explain why:

SECTION III – EMPLOYMENT DETAILS

15. Give details of your employment history up to the date of this questionnaire, including each place of employment: details of the type of business; your title and the duties attaching to your position; the dates of employment; the names and address of your employer/s; reasons for leaving; the name, position and telephone number of two references. **(Please submit the above information as an attachment in a Curriculum Vitae (CV) format)**

Please note that ALL gaps in employment for two (2) months or longer must be accounted for.

SECTION IV – EDUCATION AND TRAINING

16. Give details of Education and Professional qualifications and year(s) in which they were obtained. Please complete **Appendix A** to this Questionnaire.

17. Membership in professional bodies (past and present):

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18. Confirmation of compliance status with Continuing Professional Development requirements of the professional bodies referred to in (b) above, if applicable:

SECTION V - REPUTATION, CHARACTER & FINANCIAL INTEGRITY

19. Have you at any time been summonsed, charged or otherwise investigated in any jurisdiction, for an offence involving fraud, dishonesty, a financial crime including money laundering or terrorism financing or violence?
If so, give full particulars of the offence and status of court proceedings including relevant dates.

20. Have you at any time in Trinidad and Tobago or in any other jurisdiction
- been convicted by a court for an offence involving fraud, dishonesty, a financial crime including money laundering or terrorism financing;
 - been convicted of any offence (other than (i) an offence committed when you were under the age of 18 unless the offence was committed within the last ten years, or (ii) an offence in connection with the use or ownership of a motor vehicle which was tried in a court of summary jurisdiction); or
 - been deemed as not ‘fit and proper’ by any regulatory authority?
- If so, give full particulars of the court by which you were convicted, the offence and date of conviction, and the penalty imposed.

21. Have you, anywhere, ever been suspended, dismissed, asked to resign from any office or employment or barred from entry to any profession or occupation including any fiduciary office or position of trust?:

22. Have you anywhere ever been the subject of an investigation into any suspicious financial activities from any office or employment? If so, please provide details, including relevant timeframe and conclusions of the investigation.

23. Have you, anywhere, ever been censured, subject to any proceedings of a disciplinary nature or criticized by any professional body to which you belong or belonged and have you ever held a practicing certificate subject to conditions?

If so, give full particulars including relevant dates.

24. Have you, in connection with the formation, control or management of any body corporate, partnership or unincorporated institution been adjudged by a court, in any jurisdiction, 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 full particulars including relevant dates. If so, give particulars:

25. Have you, anywhere, ever been the subject of any proceedings of a disciplinary or criminal nature or been notified of any impending proceedings or investigations which may lead to such proceedings?

If so, please provide details including relevant dates.

26. Have you ever been adjudicated bankrupt by a court in any jurisdiction?

If so, give full particulars including relevant dates.

27. 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 of the sums and dates of all judgement debts or awards, whether satisfied or not, and the total number of all judgment debts or awards.

28. Names and addresses of bankers (personal and business) over the past five (5) years:

29. 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? If so, the dispute and the manner in which the issue was resolved?

30. Have you, your company or your employer (past or present) previously dealt on a regular basis with any person carrying on a relevant activity (as described in the glossary at the end of this form) who has, to your knowledge at any time, indicated that he or she is unwilling to effect further transactions with you, your company, business undertaking or your employer, by reason of an act or omission by you? If so, give particulars:

31. 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? If so, please provide full details of the debts/s, the circumstances surrounding the action and the current status.

SECTION VI – BUSINESS AFFILIATIONS

32. List **all** companies, partnerships, societies, trust corporations, or other business undertakings in which in which you are presently a director, partner, trustee, employee, owner, or otherwise involved in the management of (including banks and/or bank holding companies). If applicable, please complete **Appendix B** to this Questionnaire.

SECTION VII - DIRECTORSHIPS

33. Of what companies, partnerships and unincorporated associations are you currently a Director? Please list each directorship currently held stating date of appointment. If applicable, please complete **Appendix C** to this Questionnaire.
34. Have you ever been or are you currently a Director of any limited liability companies, societies or other business enterprises other than those stated on the previous question at any time during the last ten years? If applicable, please complete **Appendix D** to this Questionnaire.

SECTION VIII –SHAREHOLDINGS

35. Please indicate the names and number of shares held for companies, partnerships and unincorporated associations, where 10% or more shareholding is currently held. If applicable, please complete **Appendix E** to this Questionnaire.
36. Of what companies, partnerships and unincorporated associations have you previously been, at any time during the last ten years, a controlling shareholder, significant shareholder, or acquirer? If applicable, please complete **Appendix F** to this Questionnaire.
37. Are you a beneficial owner of **any controlling interest** in any body corporate, partnership, society or other business undertaking?

Yes No If yes, give particulars, including nature and address business/partnership, etc.:

38. Whether in Trinidad and Tobago or elsewhere, within the ten years immediately preceding have you ever been a shareholder, director of, or directly concerned in the management of a bank, financial institution, or any other business undertaking (Please give details if applicable):

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 unless such revocation was due to (i) amalgamation with another licensed institution or company or (ii) its voluntary winding-up Yes No

d) Which has been placed in receivership? Yes No

e) Whose business has been adjudged to have been conducted imprudently or fraudulently? Yes No

f) Which has failed to meet the solvency requirements prescribed by Law or by licensing or supervisory authority? Yes No

39. Has any body, partnership or unincorporated institution with which you were associated as a director, controlling shareholder, significant shareholder, acquirer or officer, anywhere, 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 yes (to any of the above), give full particulars:

40. Whether in Trinidad and Tobago or elsewhere, have you ever been a shareholder, director, or been directly concerned in the management or conduct of affairs of any body corporate society, partnership or any other business undertaking which has gone into liquidation, whilst you were associated with, or within two years of your association with the Entity? Yes No If yes, give details of the circumstances, including:

a. Name of Company:

b. Name of Liquidator:

c. Address of the Liquidator:

SECTION IX – CONFLICTS OF INTEREST

41. Have you or a relative any professional or commercial relationships or interests or have you had any such relationship over the past 3 years with the financial institution, its parent or any of its affiliates or subsidiaries?

If so, provide full particulars including relevant dates.

42. Have you or a relative any professional or commercial relationship or interests or have you had such relationship over the past 3 years with competitors or clients of the SME or TTSE; its parent or any of its affiliates or subsidiaries?

If so, provide full particulars including relevant dates.

DECLARATION

I....., hereby certify that the details provided in this document are true and accurate to the best of my knowledge and belief and I agree to inform the TTSE of any material changes to the details provided herein within 30 days of any such change, as long as I continue to act in the capacity of an Appointed Mentor.

I understand that if I provided false or misleading information or withheld relevant information, I may be deemed unfit, and this may preclude me from continuing to act in the position of an Appointed Mentor.

Dated the _____ day of _____ 20

Name

Signature

Signed by the said

WITNESS

Signature

GLOSSARY

Close personal relationship includes a parent, grandparent, brother, sister, spouse, son-in-law or daughter-in-law or a stepchild.

Conflict of interest is deemed to arise if a person were to make or participate in the making of a decision in the execution of his/her functions and responsibilities and at the same time knows or ought reasonably to have known, that in the making of the decision, there is an opportunity either directly or indirectly to further his private interests, or that of a member of his family, or of any other person.

Corporation means any body corporate, incorporated in Trinidad and Tobago or elsewhere.

High political influence means political influence at every level: local politician, regional or national politician, public employee or state representative.

APPENDIX A – EDUCATION AND TRAINING

EDUCATION
High School – Name:
Years Attended:
Level of Study (CSEC, CAPE, A 'Level):
Subjects and Grades:
College or University:
Years Attended:
Degrees Obtained:
College or University:
Years Attended:
Degrees Obtained:
Technical or Vocational School – Name and Address:
Years Attended:
Certificate Obtained:
PROFESSIONAL QUALIFICATIONS & AWARDS
Professional certifications:
Awards or honours:

APPENDIX B – BUSINESS AFFILIATIONS

Name	Address	Date of Commencement	Type of Business	Position Held & Duties

APPENDIX C- CURRENT DIRECTORSHIPS

Name & Address of Companies/ Societies/ Corporations	Nature of Business	Date of Commencement of Directorship dd/mm/yyyy

APPENDIX D – PREVIOUS DIRECTORSHIPS

Name and Address of Companies/ Societies/ Corporations/Business Enterprise	Nature of Business	Date of Commencement of Directorship dd/mm/yyyy	Date of Cessation of Directorship dd/mm/yr	Reason/s for cessation of Directorship

APPENDIX E – CURRENT SHAREHOLDINGS

Name and Address of Companies/ Societies/ Corporations/Business Enterprise	Number of shares or stock held	Percentage ownership	Whether the shares or stock are held beneficially or otherwise	Country of incorporation

APPENDIX F – PAST SHAREHOLDINGS

Name and Address of Companies/Societies/Corporations	Nature of Business	Number of shares held and class:	Date of termination of shareholding	Method of termination of shareholding