

**FINANCIAL SERVICES REGULATORY AUTHORITY****PERSONAL PARTICULARS OF A TRUSTEE OF A PENSION FUND PLAN****(i) IDENTITY:**

Surname _____

First Name _____

Middle _____

Maiden _____

Aliases _____

Previous names (if any) _____

Date of Birth (dd-mmm-yyyy): _____

Place of Birth: _____

Nationality: _____

National Insurance /Social Security Number: _____

Passport / National ID / Driver's Licence Number: _____

*(Please attach a notarised copy ID)***(ii) CONTACT INFORMATION:**

Residential Address: _____

Telephone No: (H) _____ (M) _____

Email Address: _____

Business Address: _____

Telephone No: _____

(iii) OCCUPATION: _____

(iv) What is the name of the fund/scheme that you are applying to be registered as a trustee for?

(v) Type of Trustee: Sponsor [] Member nominated [] Pensioner []

(vi) Will you serve as Principal Trustee? Yes [] No []

The Principal Trustee is the chief Liaison between the Plan and the Financial Services Regulatory Authority. Communication sent to the Principal Trustee is deemed sent to all Trustees of the Plan.

(vii) Indicate current position in Sponsor Company: Shareholder [] Director []
Executive Officer [] Manager [] Other Staff [] None []

(viii) Give details of your education and professional qualifications and affiliations including relevant dates and details of your employment history up to the date of this questionnaire. (Please submit the above information in a resume format and attach certified copies of academic certificates).

Resume and certified copies of academic certificates attached []

(ix) Have you at any time been charged or convicted of any offence by a criminal court? (excluding minor Road Traffic offences). YES [] NO []

Certificate of Character (Police Record) attached []

(x) Have you ever been the subject of investigation/disciplinary procedures, censured, disciplined or publicly criticized by any professional body to which you belong or have belonged? YES [] NO []

If yes, give particulars.

(xi) Have you ever been dismissed or requested to resign from any office or employment, whether in Saint Lucia or elsewhere? YES [] NO []

If yes, give particulars:

(xii) Have your bankers, or other financial institution with which you do business ever commenced court proceedings or declined doing any further business with you as a result of outstanding debts owed by you or your not honouring other facilities afforded you (e.g. guarantee, etc.) by these institutions? YES [] NO []

If yes, give details of the dispute and the manner in which the issue was resolved.

(xiii) Have you ever been required to give evidence in any trial or proceedings involving fraud, dishonesty or similar matters, whether in Saint Lucia or elsewhere other than as an expert witness? YES [] NO []

If yes, give particulars:

Statutory Declaration attached

[]

**PART B
RELATED OR OTHER INTEREST**

1. Are you a director or do you have controlling interest (whether directly or indirectly) of any company, partnership, corporate body or any other business subject to supervision by the Financial Services Regulatory Authority? YES [] NO []

If yes, state the name of the entity and date of commencement of directorship or controlling interest.

Name of Entity	Date
_____	_____
_____	_____
_____	_____

2. Have you ever been subject to legal proceedings relating to winding-up, dissolution, creditors' arrangement, creditor's compromise or receivership? YES [] NO []

If yes to any of the above, give particulars.

3. Have you ever been a director, or been directly concerned with the management or conduct of affairs of any company which has gone into liquidation, whilst you were, or within one year of your being a director, or so concerned? YES [] NO []

If yes, provide the name of the company

4 (a). Do you (in your personal capacity or through any entity controlled by you) have outstanding debt of any amount sixty or more days in arrears? YES [] NO []

If yes, state the following –

- (a) form _____
- (b) amount _____
- (c) source _____
- (d) maturity date _____

4 (b). Has any person, firm or company guaranteed the indebtedness? YES [] NO []

If yes, give particulars.

5. Have you ever been a director of, or directly concerned with the management of a bank or other financial institution –

- | | | |
|--|---------|--------|
| (a) that has been wound up by a court? | YES [] | NO [] |
| (b) the licence of which has been revoked? | YES [] | NO [] |
| (c) which has been placed in receivership? | YES [] | NO [] |
| (d) which has entered into a composition with its creditors? | YES [] | NO [] |
| (e) whose business had been adjudged to have been conducted imprudently or fraudulently? | YES [] | NO [] |
| (f) which has failed to meet the solvency requirements prescribed by law? | YES [] | NO [] |

If yes to any of the above, give particulars.

I have read and understood my responsibilities and obligations under Part 9 of the Insurance Act, Cap. 12.08 of the Laws of Saint Lucia, and I hereby apply for registration as a Trustee of the named pension fund above.

I declare that to the best of my knowledge, information and belief all the information given in support of this application is true and correct and I consent to the Financial Services Regulatory Authority obtaining information from any source as permitted by the Laws of Saint Lucia or any other jurisdiction for the purpose of verifying information furnished in this application.

Signature of Applicant

Date

Witnessed by:

Name of Witness

Signature