

## **FIT AND PROPER REQUIREMENTS FRIENDLY SOCIETIES NATURAL PERSONS**

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**To be completed by all persons who may be controlling or participating, directly or indirectly, in the directorship, management or operation of the applicant.**

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**SECTION A: (PERSONAL INFORMATION)**

A.1 Full names: \_\_\_\_\_

A.2 Previous names: \_\_\_\_\_

A.3 Current Nationality: \_\_\_\_\_

A.4 Previous Nationality: \_\_\_\_\_

A.5 Identification number ( national identification or Passport number): \_\_\_\_\_

A.6 Date of Birth: \_\_\_\_\_

A.7 Place of Birth: \_\_\_\_\_

A.8 Residential address: \_\_\_\_\_

A.9 Postal address: \_\_\_\_\_

A.10 Telephone number: \_\_\_\_\_

A.11 Fax number: \_\_\_\_\_

A.12 e-mail address: \_\_\_\_\_

A. 13 Mobile number: \_\_\_\_\_

A. 14 Occupation / Source of income: \_\_\_\_\_

A. 15 Nature an location of business (*where applicable*) \_\_\_\_\_

A.16 Relation to Applicant: \_\_\_\_\_

**SECTION B: (HONESTY AND INTERGRITY)**

If the answer to any of the questions is yes, provide full details on a separate page and attach certified documents to the form:

		YES	NO
1	Has an adverse finding been made against you within a period of ten years preceding the date of application in any civil or criminal proceedings by a court of law (whether in Namibia or elsewhere), in which you were found to have acted fraudulently, dishonestly, unprofessionally, dishonorably or in breach of a fiduciary duty?	<input type="checkbox"/>	<input type="checkbox"/>

2	Have you within a period of ten years preceding the date of application been found guilty by any professional or financial services industry body (whether in Namibia or elsewhere), of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
3	Have you within a period of ten years preceding the date of application been denied membership of anybody referred to in question 2 above on account of an act of dishonesty negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
4	Have you within a period of ten years preceding the date of application been found guilty by any regulatory or supervisory body (whether in Namibia or elsewhere) or has an authorization to carry on business been refused, suspended or withdrawn by any such body on account of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
5	Have you at any time prior to the date of application been disqualified or prohibited by any court of law (whether in Namibia or elsewhere) from taking part in the management of any company or other statutorily created, recognized or regulated body, irrespective whether such disqualification has since been lifted or not?	<input type="checkbox"/>	<input type="checkbox"/>
6	Have you been the subject of any investigation or disciplinary proceedings by any regulatory authority (whether in Namibia, or elsewhere) or exchange, professional body or government body or agency?	<input type="checkbox"/>	<input type="checkbox"/>
7	Have you ever been refused authorization to carry on business by any regulatory body (whether in Namibia or elsewhere), or has such authorization ever been suspended or revoked by any such body, because of negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
8	Have you at any time prior to the date of application been disqualified or prohibited by any court of law ( whether in Namibia or elsewhere) from taking part in the management of any company or other statutorily created, recognized or regulated body, irrespective whether such disqualification has since been lifted or not?	<input type="checkbox"/>	<input type="checkbox"/>
9	Are you subject to an order of a competent court holding you to be mentally unfit or disordered?	<input type="checkbox"/>	<input type="checkbox"/>
10	Have you within a period of ten years preceding the date of application been removed from office on account of misconduct relating to fraud or the misappropriation of money, whether in the Republic or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
11	Have you within a period of ten years preceding the date of application been a director or member of a governing body of an entity at the time that such entity has been de-registered in terms of public regulation?	<input type="checkbox"/>	<input type="checkbox"/>
12	Have you within a period of ten years preceding the date of application received a grant of amnesty or free pardon for any offence?	<input type="checkbox"/>	<input type="checkbox"/>
13	Has your estate ever been sequestrated?	<input type="checkbox"/>	<input type="checkbox"/>

14	Have you ever been convicted of an offence or found to be liable under the Financial Intelligence Act, No. 13 of 2012 (FIA), and/or the Prevention of Organized Crime Act, No. 29 of 2004 and/or the Combating of Financing of Terrorist Act, Act No 12 of 2012 and/or any other similar crime in any country?	<input type="checkbox"/>	<input type="checkbox"/>
15	Do you have any additional information, which should be brought to the Registrar's attention, which may have an impact on the evaluation, by the Registrar of your good character and integrity?	<input type="checkbox"/>	<input type="checkbox"/>
16	Are you listed on any bad creditors' bureau?	<input type="checkbox"/>	<input type="checkbox"/>
17	Are you involved in other companies as directors, shareholder, member?	<input type="checkbox"/>	<input type="checkbox"/>
18	Have you ever been involved in an event which resulted in the failure of protection of policyholders?	<input type="checkbox"/>	<input type="checkbox"/>
19	Have you been appointed as a Principal Officer? If yes, provide more information i.e. duration, which entity etc.	<input type="checkbox"/>	<input type="checkbox"/>
20	Have you ever been involved with a regulated institution when such institution failed to maintain a financial sound position or the required capital or solvency?	<input type="checkbox"/>	<input type="checkbox"/>

**SECTION C:(COMPETENCE)**

C.1 Qualifications

Qualification	Institution	Date obtained

C.2 Experience in the industry (complete table below):

Relevant employment history and/or experience in the industry: *(To be supported with written references from employers or from at least two clients confirming that the required period of two years relevant experience have been completed satisfactorily).*

Position held	Employer	Contact Details	Period


**DECLARATION**

I, \_\_\_\_\_ (full names) hereby declare the following:

This statement consists of \_\_\_\_\_ pages, each initialed by me. The content of this statement is true and correct to the best of my knowledge and belief.

I undertake that, as long as I continue to be \_\_\_\_\_ of the institution, I will notify the Registrar of any material changes to, or affecting the completeness or accuracy of, the information supplied to the Registrar in this statement as soon as possible, but in any event no later than 30 days from the day that the changes come to my attention

I know and understand the content of this declaration. I do not have objections to taking the prescribed oath. I consider the prescribed oath to be binding on my conscience.

\_\_\_\_\_  
**SIGNATURE OF DEPONENT**

I hereby declare that the deponent has sworn to and signed this statement in my presence at \_\_\_\_\_ on the \_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_ and he/she declared as follows: that the facts herein contained fall within his/her personal knowledge and that he/she understands the contents hereof; that he/she has no objection to taking the oath; that he/she regards the oath as binding on her conscience.

\_\_\_\_\_  
**COMMISSIONER OF OATHS**

FULL NAMES \_\_\_\_\_

CAPACITY \_\_\_\_\_

ADDRESS \_\_\_\_\_