



FIT AND PROPER APPLICATION FORM FOR THE APPOINTMENT OF KEY RESPONSIBLE PERSONS

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the application form.
2. All questions must be answered. If a question is not applicable, please mark “N.A.” in the space provided. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatory to this application.
 - 2.1. Where there is an asterisk (*), please delete whichever is inapplicable.
 - 2.2. Please tick (√) in the relevant boxes where appropriate.
3. If there are any changes in the information furnished in the application prior to the approval of the application, Brunei Darussalam Central Bank (the “Authority”) should be notified immediately.
4. This application form shall be duly completed and signed by the person whose appointment is sought [“appointee”].

FIT AND PROPER APPLICATION IS HEREBY MADE FOR:

Full name of appointee* (As in Identification Card/Passport)	
First name	
Surname	
Full title of intended position	
Full name of financial institution	

1. PERSONAL PARTICULARS OF APPOINTEE

Nationality		Identification Card/Passport No.*	
Date of birth (dd/mm/yyyy)		Place of Birth	
Gender		Percentage of Shareholding in the Company (If applicable)	
Mobile No.		Office No.	
Email Address		Residential Address	

2. DETAILS OF CONTROLLED FUNCTION¹

<p>1. Controlled function(s) for which application is sought:</p> <ul style="list-style-type: none"> <input type="checkbox"/> A Chief Executive Officer or Managing Director or a person who is responsible for the conduct and management of the licensee on a day-to-day basis <input type="checkbox"/> Deputy Chief Executive Officer <input type="checkbox"/> Chief Financial Officer <input type="checkbox"/> Chief Operating Officer <input type="checkbox"/> Chief Risk Officer <input type="checkbox"/> Chief Technical Officer or Head of Operations <input type="checkbox"/> Head of Internal Audit <input type="checkbox"/> Head of Compliance <input type="checkbox"/> Head of Treasury <input type="checkbox"/> Other Senior Officers identified by BDCB² <p>(Please specify: _____)</p>
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¹ A Key Responsible Person may be fit and proper for one controlled function but not fit and proper for another controlled function involving different responsibilities and duties.

² Please refer to paragraph 2.2 of Notice on Appointment of Key Responsible Persons

2. Specify responsibilities of the proposed controlled function:

3. Will you be handling /assuming other responsibilities from Brunei Darussalam?

Yes

No

Please Specify:

3. QUALIFICATIONS AND EXPERIENCE

1. Please provide details and certified copies of academic and professional qualifications and the year and place in which these were obtained (with originals or certified copies of certificates and translations)

Original or Certified Copies Attached

- Yes
 No

Professional Qualification

Name of Professional Institute	Qualification	Class of Membership	Year Obtained

Academic Qualification

Name of Institute	Country	Qualification	Year of Graduation

2. Please provide details of your employment history since the age of 25:

Name of company	Principal Activity	Country of incorporation	Position held in the company	Year (from/to)

4. SHAREHOLDINGS AND DIRECTORSHIPS / POSITIONS HELD IN OTHER COMPANIES

1. Do you have equity interest of 5% or more in any other firms or companies? If so, please provide the following details:

Name of company	Principal Activity	Country of incorporation	Percentage held in the company

2. Are you also a currently director, partner, proprietor or employee in any other firms or companies? If so, please provide the following details:

Name of company	Principal Activity	Country of incorporation	Percentage held in the company

5. FIT AND PROPER CRITERIA

If the answer to any of the following questions is in the affirmative, attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that you are considered to be a fit and proper person.

Honesty, Integrity and Reputation

QUESTION	YES	NO
1. Have you at any time been convicted of any felony or crime by any court or competent jurisdiction, including civil or military (excluding any minor traffic offence) that relates to your honesty and/or integrity unless you subsequently have been restored to good standing?		
If yes, please give full particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction as well as evidence of having been restored to good standing.		
2. Have you been licensed, registered or approved under any law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity?		
If yes, please list all applications showing whether they have been successful or unsuccessful.		
3. Have you ever been refused the right or restricted in your right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction?		
If yes, please give full particulars of the action taken, where and when it took place and the identity of the party having taken this action.		
4. Have you contravened any financial services legislation or been the subject of any disciplinary proceedings, investigations and/or fines by a governmental, professional or other regulatory body or association?		
If yes, please give full particulars of the action taken, where and when it took place and identity of the party having taken this action.		

QUESTION	YES	NO
5. Have you been the subject of any adverse finding in a civil action by any court or competent jurisdiction, relating to fraud?		
If yes, please give full particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction.		
6. Have you been the subject of any adverse finding in a civil action by any court or competent jurisdiction, relating to misfeasance or other misconduct in connection with the formation or management of a corporation or partnership?		
If yes, please give full particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction.		
7. Has any body corporate, partnership or unincorporated institution to which you have been associated with as a director, controller, manager or company secretary contravened any financial services legislation or been the subject of any disciplinary proceedings, investigations and/or fines by a governmental, professional or other regulatory body or association?		
If yes, please give full particulars of the action taken, where and when it took place and the identity of the party having taken this action.		
8. Have you been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, you were a director, partner, substantial shareholder or concerned in the management of the business, whether in Brunei Darussalam or elsewhere?		
If yes, please give full particulars of the business, position, where and when it took place.		
9. Have you been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Brunei Darussalam or elsewhere?		
If yes, please give full particulars of the action taken, where and when it took place.		

Financial Soundness

QUESTION	YES	NO
1. Have you been adjudged bankrupt by a court?		
If yes, please give full particulars of the action taken, where and when it took place and provide evidence that you have met your obligations in the last 10 years and have achieved economic accomplishments.		
2. Have you been or are you unable to fulfill any of your financial obligations, whether in Brunei Darussalam or elsewhere?		
If yes, please give full particulars of the action taken, where and when it took place and provide evidence that you have met all your obligations in the last 10 years and have achieved economic accomplishments.		
3. Have you been or are you subject to any judgment debt which is unsatisfied, either in whole or in part, whether in Brunei Darussalam or elsewhere?		
If yes, please give full particulars of the action taken, where and when it took place.		
4. Provide the name and address of one or more bankers as a reference for the Authority to obtain information on the conduct of your financial affairs over the past 5 years:		

DECLARATION

1. I have read the Notice on Appointment of Key Responsible Persons issued by the Authority and in submitting this form, I am satisfied that I am a fit and proper person based on the criteria stated in the Notice.
2. I certify that the information in this Form is accurate and complete to the best of my knowledge and belief and that there are no other facts relevant to this application of which the Authority should be aware.
3. I authorise the Authority to make such enquiries and seek further information it deems necessary in considering this application for the appointment of Key Responsible Persons.
4. I am aware that it is an offence under Section 106 of the Banking Order, 2006; Section 107 of the Islamic Banking Order, 2008; Section 33 of the Finance Companies Act, Chapter 89 and any regulations issued thereunder to provide to the Authority any information which is false or misleading.
5. I also confirm that I will not assume the responsibilities of the Key Responsible Persons for which this application is being submitted prior to obtaining such approval.
6. Should my application be approved by the Authority, I undertake to comply with all relevant provisions of the Banking Order, 2006, Islamic Banking Order, 2008, Finance Companies Act and Regulations and Rules issued by the Authority.
7. I undertake to inform the Authority and the licensee of any changes material to the application which arise while the Authority is considering this Form. I further undertake that, in the event that the Key Responsible Person status being sought is granted, I will notify the Authority and the licensee of any material changes to or affecting the completeness or accuracy of, the information provided in the Form as soon as possible, but in any event no later than 21 days from the day that the changes come to my attention.

Signature of Applicant
(Please use blue ink)

Name:

Date:

Note: The use of the term “**applicant**” throughout this form refers to the individual seeking the Approved Person Status.