

Section C. Fit and Proper Questionnaire for proposed Principal Officer and Trustees
--

Kindly complete the questionnaire in full and if the answer to any of the questions is yes, please provide full details and attach to the questionnaire.

	YES	NO
1. Have you ever been found guilty by any professional or financial services industry body (in Namibia or elsewhere), of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are you a member of any professional body?	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you ever been denied membership of any professional body referred to in 2 on account of an act of dishonesty negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
4. Have you ever been found guilty by any regulatory or supervisory body (in Namibia or elsewhere) or has an authorization to carry on business been refused, suspended or withdrawn by any such body on account of an act of dishonesty, negligence, incompetence or mismanagement?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 ever 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 involved with a corporation, which has been censured, disciplined, suspended or refused membership or registration by a stock exchange, futures exchange, other market or regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
7. Have you had any judgment (including a finding of fraud, misrepresentation or dishonesty) given against you in any civil proceedings, in Namibia or elsewhere or are there any proceedings now pending which may lead to such a judgment?	<input type="checkbox"/>	<input type="checkbox"/>
8. Have you ever been a controlling shareholder, director of a company or member of a close corporation at the time it was placed under judicial management or in provisional or final liquidation?	<input type="checkbox"/>	<input type="checkbox"/>
9. Have you ever 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"/>
10. Have you ever been declared insolvent?	<input type="checkbox"/>	<input type="checkbox"/>
11. If the answer to 11 is "Yes" have you since been rehabilitated?	<input type="checkbox"/>	<input type="checkbox"/>
12. Have you ever been a principal officer, member, director or CEO of any business or company which has failed, where that failure has been occasioned entirely or in part by deficiencies in competence, diligence, honesty, integrity, fairness or ethical behavior in the management of the business or company?	<input type="checkbox"/>	<input type="checkbox"/>
13. Are you candid and truthful in all your dealings with any regulatory body and do you demonstrate readiness and willingness to comply with the requirements and standards of the regulatory system and with other legal, regulatory and professional requirements and standards?	<input type="checkbox"/>	<input type="checkbox"/>

Completed by:

Full Name: _____

Position (Principal Officer/Trustee): _____

Signature

Date