

SCHEDULE 2 (to Standard No. GEN.S.10.2)**INDIVIDUAL APPLICANT OR KEY PERSON FIT AND PROPER (FAP) REQUIREMENTS STATEMENT****Date of submission to NAMFISA:** _____**SECTION A: PERSONAL INFORMATION****A.1** Full name(s): _____**A.2** Previous surname(s): _____**A.3** Current nationality: _____**A.4** Previous nationality: _____**A.5** Identification / Passport No.: _____**A.6** Date of birth: _____**A.7** Tax registration number and Pay As You Earn (where applicable) for the sole proprietor:

_____**A.8** Place of birth: _____**A.9** Residential address/Principal place of business: _____
_____**A.10** Postal address: _____
_____**A.11** Telephone No.: _____**A.12** Fax No.: _____**A.13** Email address: _____**A.14** Mobile No.: _____**A.15** Occupation/Source of income: _____
_____**A.16** Nature and location of business (where applicable): _____
_____**A.17** Relation to applicant: _____

SECTION B: HONESTY AND INTEGRITY (INDIVIDUAL APPLICANT/KEY PERSON)

If the answer to any of the questions is yes, provide full details on a separate page and attach certified documents to the form (to be supported with certified copy of Certificate of Conduct issued no longer than 12 months prior to application):

	DESCRIPTION OF THE REQUIREMENT	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?		
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?		
3	Have you, within a period of ten years preceding the date of application, been denied membership of any body referred to in question 2 on account of an act of dishonesty negligence, incompetence or mismanagement?		
4	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, recognised or regulated body, irrespective whether such disqualification has since been lifted or not?		
5	Have you, with or without an appeal lodged, within a period of ten years preceding the date of application, been the subject of any investigation or disciplinary proceedings or has administrative action been taken or administrative penalties been imposed by any regulatory authority, professional or government body or agency, an exchange, or a self-regulatory organisation, whether in Namibia, or elsewhere?		
6	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 authorisation to carry on business been refused, suspended or withdrawn by any such body, on account of an act of dishonesty, negligence, incompetence or mismanagement?		
7	Have you ever been the subject to an order of a competent court holding you to be mentally unfit or disordered (whether in Namibia or elsewhere)?		
8	Have you, within a period of ten years preceding the date of application, been removed from, or left, office on account of misconduct relating to fraud, theft or the misappropriation of money, whether in Namibia or elsewhere?		
9	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 deregistered in terms of any law?		
10	Have you ever received a grant of amnesty or free pardon for any offence (whether in Namibia or elsewhere)?		
11	Have you ever been convicted of an offence or found to be liable under the Financial Intelligence Act, No. 13 of 2012, and/or the Prevention of Organized Crime Act, No. 29 of 2004 and/or the Prevention and Combating of Terrorist and Proliferation Activities Act, No 4 of 2014 and/or any other similar Acts describing similar offences and/or liability in any country?		
12	Have you, within a period of ten years preceding the date of application, been appointed as a principal officer or director in the financial services industry? If yes, provide more information, i.e. duration, which company, etc.		

13	Are you involved in other entities as a director, shareholder, member, trustee, etc.? If yes, provide more information, i.e. duration, which entity, etc.		
14	Have you ever been disqualified from being appointed or acting as a director of a company in terms of section 225 and section 226 of the Companies Act, 2004, No. 28 of 2004?		
15	Are you a director or principal officer of a financial institution which is not in compliance with any law governing financial institutions?		
16	Are you of bad repute in any business or financial community or any market as a result of any convictions, fraudulent behaviour, violations or non-compliance with legislative or regulatory standards?		
17	Have you, within a period of ten years preceding the date of application, been substantially involved in the management of a business or company which has failed, where that failure has been occasioned in part by deficiencies of honesty, integrity, fairness or ethical behaviour in the management of that business?		
18	Have you, within a period of ten years preceding the date of application, been the subject of civil or criminal proceedings or enforcement action, in relation to the management of an entity, or commercial or professional activities, which were determined adversely (including where you have consented to an order or direction, where you provided an undertaking, not to engage in unlawful or improper conduct) and which reflected adversely on your competence, diligence, judgement, honesty or integrity?		
19	Has any corporate entity in respect of which you are or were a Member, Shareholder, Director, Trustee or officer ever been convicted or an offence or found to be liable under the Financial Intelligence Act, No. 13 of 2012, and/or the Prevention of Organised Crime Act, No. 29 of 2004, and/ or the Prevention and Combating of Terrorist and Proliferation Activities Act, No. 4 of 2014 and/or any other similar Acts describing similar offences and/or liability in any country?		
20	Do you have any additional information, which should be brought to NAMFISA's attention, which may have an impact on the evaluation, by NAMFISA of your good character and integrity?		

SECTION C: COMPETENCE AND CAPABILITY (INDIVIDUAL APPLICANT OR KEY PERSON)

1.1 QUALIFICATIONS AND TRAINING: (complete table below)

Certified copies of the qualifications and certificates of training to be attached.

Qualification/ Training	Institution	Date obtained/completed

1.2 EXPERIENCE AND EMPLOYMENT HISTORY: (complete table below)

Relevant employment history and experience in the financial services industry: (To be supported with proof of relevant experience, including but not limited to reference letters from previous employer(s) or client(s), or certificates of service from previous employer(s). Enclose detailed Curriculum Vitae.)

Position held	Employer	Contact Details	Period

SECTION D: FINANCIAL SOUNDNESS (INDIVIDUAL APPLICANT OR KEY PERSON)

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

	DESCRIPTION OF THE REQUIREMENT	YES	NO
1	Have you, within the period of ten years preceding the date of application, been subject to any judgment, debt or award that remains outstanding or has not been satisfied within a reasonable period?		
2	Have you, within the period of five years preceding the date of application, been adversely listed on a credit bureau (whether in Namibia or elsewhere): Provided that the person may submit evidence/explanations in respect of any adverse listings that may be unfair or wrong?		
3	Have you, within the period of 10 years preceding the date of application, made arrangements with creditors or had assets confiscated or repossessed or has been involved with proceedings relating to any of the aforementioned?		
4	Have your estate ever been sequestrated (whether in Namibia or elsewhere)?		

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 a _____ of the applicant, I will notify NAMFISA of any material changes to, or affecting the completeness or accuracy of, the information supplied to NAMFISA 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 his/her conscience.

_____ (to initial on each page as well)

COMMISSIONER OF OATHS

FULL NAMES

CAPACITY

ADDRESS
