

**PRIVATE AND CONFIDENTIAL**



CENTRAL BANK OF  
TRINIDAD & TOBAGO

**INSURANCE ACT Chapter 84:01**

**PERSONAL QUESTIONNAIRE AND DECLARATION**

**(Insurance Brokers & Adjusters)**

1.	Name of Broker or Adjuster	
2.	(a) Surname of person making declaration (b) Forename(s) (c) Name of Spouse (including maiden name) (d) Any name(s) by which you and your spouse have previously been known.	(a) (b) (c) (d)
3.	Are you completing this questionnaire as a Broker or an Adjuster?	
4.	Private residential address.	

**N.B: Please respond to all questions. This form will be returned if declarants do not respond to all questions. If insufficient space is provided, please attach extension sheet(s).**

5.	Previous private addresses during the last ten years (with relevant dates)	
6.	(a) Date of Birth (DD/MM/YY)  (b) Place of Birth	(a)  (b)
7.	(a) Nationality  (b) How acquired (e.g. birth, naturalization, marriage)	(a)  (b)
8.	(a) Present occupation or employment (Position; Name of Employer; Effective date). State your complete official job title and give date of original appointment to this present position (not date of last re-appointment).  (b) Occupation and employment during the last ten years, including the names of employers, the nature of the businesses, positions held and relevant dates.  <b>Use Appendix PQD/Q8 if space provided here is inadequate</b>	(a)  (b)

<p>9.</p>	<p>Of what companies, partnerships and un-incorporated associations are you now a shareholder/member, director, chief executive officer*, controller* or officer*? (*See definitions in the Act)</p> <p>In case of <b>private entities</b>, state the number of shares or stock held and the percentage ownership such membership represents.</p> <p>In the case of <b>public companies</b>, where such membership represents ownership of ten percent and more of the company's issued share capital, state the number of shares or stock held and the percentage ownership represented.</p> <p>In all cases, please specify the country of incorporation and indicate whether the shares and/or stock thus held are held beneficially or otherwise.</p> <p><b>Use Appendix PQD/Q9 if space provided here is inadequate</b></p>	
<p>10.</p>	<p>Of what private companies, partnerships and un-incorporated associations have you been, at any time during <b>the last ten years</b>, a shareholder/member, director, chief executive officer*, controller* or officer*? (*See definitions in the Act)</p> <p>In each case, state the number of shares or stock held and the percentage ownership such membership represents.</p> <p>Please specify the country of incorporation and relevant commencement and termination dates of membership etc., in each case.</p> <p><b>Use Appendix PQD/Q10 if space provided here is inadequate</b></p>	

11.	Professional qualifications and year(s) in which they were obtained.	
12.	<p>Have you, at any time, been convicted of any offence (<b>other than</b> (a) an offence committed when you were under the age of 18 unless the offence was committed within the last ten years, <b>or</b> (b) an offence in connection with the use or ownership of a motor vehicle, which was tried in a court of summary jurisdiction) by any court, whether civil or military, in any jurisdiction?</p> <p><b>If so</b>, give full particulars of the court by which you were convicted, the offence and date of conviction, and the penalty imposed.</p>	

13.	Have you, anywhere, been censured, disciplined or criticised by any professional body to which you belong or belonged and have you ever held a practicing certificate subject to conditions? If so, give full particulars.	
14.	Have you, or any company, partnership or unincorporated association with which you are, or have been associated as a controlling shareholder <sup>1</sup> , director, chief executive officer*, controller* or officer*. (*See definitions in the Act) been the subject of an investigation, anywhere, by a governmental, professional or other regulatory body? If so, give full particulars.	
15.	Have you, anywhere, been dismissed from any office or employment or barred from entry to any profession or occupation? If so, give full particulars.	

<sup>1</sup> Central Bank Fit and Proper Guideline – a controlling shareholder is defined as a person who either alone or with an affiliate or relative or connected person, is entitled to exercise or control twenty-five percent or more of the voting power at any general meeting of the licensed institution or another company of which the licensee is a subsidiary.

16.	Have you been adjudicated bankrupt by a court in any jurisdiction? If so, give full particulars.	
17.	Have you failed to satisfy any debt adjudged due and payable by you as a judgement-debtor under an order of a court in any jurisdiction? If so, give full particulars.	
18.	Have you, in connection with the formation, control or management of any body corporate, partnership or un-incorporated institution been adjudged by a court, in any jurisdiction, civilly liable for any fraud, misfeasance or other misconduct by you towards such a body or company or towards any members thereof? If so, give full particulars.	

19.	Has any body corporate, partnership or un-incorporated institution with which you were associated as a controlling shareholder, director, chief executive officer*, controller* or officer*. (*See definitions in the Act) anywhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while you were associated with it or within one year after you ceased to be associated with it? If so, give full particulars.	
20.	In carrying out your duties, will you be acting on the directions or instructions of any other person? If so, give full particulars.	

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certify that the above information is complete and correct to the best of my knowledge and belief and I undertake that as long as I continue to be a Broker or Adjuster registered under the Insurance Act, 1984, Chapter 84:01, I will notify the Central Bank of any material changes affecting the completeness of the answers to Questions 1 to 20 above.

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Date

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Signature of Person Making Declaration

**Declarant's Occupation and Employment during the Last 10 Years**

Name of Declarant's Employer	Declarant's Official Job Title	Commencement and Termination Dates of Employment	Nature of Business



**Declarant's Current Associations**

Name of Company, Partnership or Un-incorporated Association with which declarant is associated	State whether entity is private or public	Nature of Declarant's relationship with entity (shareholder/member, director, chief executive officer, controller or officer)	Number of shares or stocks held by declarant in this entity	Declarant's percentage ownership of entity	Country of incorporation of entity	State whether declarant's shares or stocks are held beneficially or otherwise

**Declarant's Past Associations**

Name of Company, Partnership or Un-incorporated Association with which declarant is associated	State whether entity is private or public	Nature of Declarant's relationship with entity (shareholder/member, director, chief executive officer, controller or officer)	Number of shares or stocks held by declarant in this entity	Declarant's percentage ownership of entity	Country of incorporation of entity	State whether declarant's shares or stocks are held beneficially or otherwise