

**QUESTIONNAIRE
FOR ASSESSMENT OF OPERATORS
OF PRIMARY DEALERS
UNDER THE 'FIT AND PROPER CRITERIA'**

Article 1. GENERAL INFORMATION

1. LEGAL NAME:

Surname

First

Middle

Maiden

2. MARITAL STATUS:

Married

Single

Widowed

Divorced

Separated

3. GENDER:

Male

Female

ADDRESS

4. Home:

4.1 Business:

4.2 Phone Numbers:

Home:

Business:

Mobile:

5. OCCUPATION:

6. TAXPAYER REGISTRATION NUMBER (TRN):

7. DATE OF BIRTH (dd-mmm-yyyy):

7.1 PLACE OF BIRTH:

Town/District:

Parish:

8. NATIONALITY: _____

8.1 If naturalized, give date of grant of citizenship and certificate number.

Place of Residence:

9. POSITION IN PRIMARY DEALER OPERATIONS:

Director Shareholder Manager Chief Executive Officer

Other please specify _____

9.1 DUTIES ATTACHED TO POSITION:

10. Have you ever conducted real estate business here in Jamaica?

Yes No

If yes, please state in what capacity you conducted these transactions

10.1 Have you ever been compensated for such transaction?

Yes No

If yes, please state how you were compensated (cash, gift)

10.2 What area (s) of real estate business have you engaged in Jamaica?

Sales Rentals Leases Property Management
Auctioneering Appraisals

Please give a description of your experience within each area of practice

10.3 On average per year, please state the number of transactions that you were you engaged in, within each area?

Sales _____ Rentals _____ Leases _____
Property Management _____ Appraisals _____
Auctioneering _____

BUSINESS HISTORY

11. Give details of your educational and professional qualifications and affiliations, if any, including relevant dates:

Name of Programme	Name of Institution	Duration of training	Certification received	Year of Certification

12.1. Give details of your employment history up to the date of this Questionnaire, including for each place of employment; the duration of employment, position held reasons for leaving (fired, redundancy, resigned, expiration of contract)

Name of Employer	Duration of Employment (month year)	Position Held	Reason for Leaving

12.1(a) Have you resided or worked in an overseas jurisdiction for any period exceeding 6 months, since age 18? If so, list the jurisdiction(s) and the period you resided in each.

12.2 Have you at any time been charged with **any** offence in Jamaica or elsewhere (excluding minor Road Traffic offences)?

Yes No

If yes, please give details of the charge *whether or not it led to a conviction.*

12.3(a) Have you at any time been convicted of **any** offence or otherwise found liable by a civil, Criminal or Military Court, whether in Jamaica or elsewhere (excluding minor Road Traffic offences)?

Yes No

If yes, state the date(s) and place(s) of conviction and full particulars of the Offence (s), (including any offences taken into consideration) and the specific penalty(s) imposed *irrespective of whether the penalty has been paid.*

12.3(b) Have you ever been required to give evidence in any trial or proceedings involving fraud, dishonesty or similar matters, whether in Jamaica or elsewhere other than as an expert witness?

Yes No

If yes, give particulars:

12.4 Have you ever been the subject of investigation/disciplinary procedures, censure, disciplined by any professional body to which you belong or have belonged, whether in Jamaica or elsewhere?

Yes No

If yes, give particulars:

12.5 Have you ever been dismissed or requested to resign from any office or employment, whether in Jamaica or elsewhere?

Yes No

If yes, give particulars:

12.6 Have you ever been refused entry into any professional body in Jamaica or elsewhere?

Yes No

If yes, give particulars:

12.7 Have you ever been censured or disciplined whether in Jamaica or elsewhere, at the instigation of:

12.7.1 Any regulatory authority? Yes No

12.7.2 Any officially appointed enquiry? Yes No

12.7.3 Any other established body concerned with the regulation of a relevant activity (as described in the Glossary at the end of this form)?

Yes No

12.7.4 If the answers to any of the questions under 10.7 is YES, give particulars:

12.8 Have your bankers, or any other financial institution with which you do business ever threatened or commenced court proceedings or declined doing any further business with you as a result of outstanding debts owed by you, spouse, close relatives, friends or other facilities honoured by you?

Yes No

If so, give details of the dispute, and if resolved, the manner in which the issue was resolved, and the particulars of the court action

12.9 In connection with the formation or management of any partnership, business undertaking, or corporation, have you ever been adjudged by a Criminal or Civil Court to be liable for any fraud, misfeasance or other misconduct in relation to that corporation, any member or customer thereof, whether in Jamaica or elsewhere?

Yes No

If yes, give particulars:

12.10 Has a bankruptcy petition ever been served on you or any organization in which you were a shareholder or held the position of Director or Manager in any jurisdiction?

Yes No

If yes or pending, give details of the circumstances and, if not pending, how was the matter resolved?

12.11 Has an order for your assets to be frozen, seized or forfeited ever been made with respect to your assets or those of any organization in which you held a shareholding, directorship or management position in any jurisdiction (during your tenure as director or manager or period as shareholder or within the 3 years immediately after your departure or disposal of shares)?

Yes No

If yes, give particulars:

12.12 Have you or any organisation in which you held a shareholding, directorship or management position ever entered into a Deed of Arrangement, or other composition or arrangement with your/its creditors (during your tenure as director or manager or period as shareholder, or within the 3 years immediately after your departure or disposal of shares)?

Yes No

If yes, give particulars:

12.13 Has any organisation in which you held a shareholding, directorship or management position been the subject of any liquidation proceedings in any jurisdiction (during your tenure as director or manager or period as shareholder, or within 3 years immediately after your departure or disposal of shares)?

Yes No

If yes, give particulars:

12.14 Has any organization in which you held a shareholding, directorship or management position been the subject of any administrative censure or penalty by the regulator with responsibility for such industry (during your tenure as director or manager or period as shareholder, or within the 3 years immediately after your departure or disposal of shares)?

Yes No

If yes, give particulars:

12.15 Has a petition to wind up the corporation ever been served on any organization in which you were a shareholder, or held the position of director or manager (during your tenure as director or manager or period as shareholder, or within the 3 years immediately after your departure or disposal of shares)?

Yes No

If yes, give particulars:

13. Have you been or are you currently a Shareholder, Trustee, Partner, Member, Director or Manager of any company, society, trust, partnership or other business entity, other than those stated in the previous questions?

Yes No

If yes, state the name of the entity(s), the nature of its business, your position and date of appointment:

14. Are you, your spouse, children or close family member or anyone living within your household a politically exposed person (e.g. Member of Parliament, Senator, Mayor, Senior Government Official, Judiciary or Security Force)

Yes No

If yes, state the type of political office:

