

**SECOND SCHEDULE**

**PERSONAL DECLARATION FORM FOR INDIVIDUALS WHO ARE, OR ARE PROPOSING TO BECOME OFFICERS OR SIGNIFICANT SHAREHOLDERS OF A BUREAU**

*(In relation to Regulation 7 (2)(c))*

Name and capacity of person making this declaration:

1. Name of Bureau in connection with which this form is being filled:

\_\_\_\_\_

2. Full names of deponent: \_\_\_\_\_

3. Former surname(s) and /or forenames by which you may have been known:

\_\_\_\_\_

4. Please state the capacity in which you are completing this form, i.e. as a current or prospective officer or any combination of these. Please state your full title and describe the particular duties and responsibilities attaching to the position(s) which you hold or will hold. If you are completing this form in the capacity of director, indicate whether, in your position as director, you have or will have executive responsibility for the management of the applicant's business. In addition, please provide a copy of your curriculum vitae unless it is already provided by the applicant in response to Schedule 1.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Date and place of birth:

\_\_\_\_\_

6. (1) Citizen of: \_\_\_\_\_ (2) Resident of: \_\_\_\_\_  
(Country) (Country)

Since \_\_\_\_\_  
(Year)

Since: \_\_\_\_\_  
(Year)

7. Addresses:

(1) Present business address

(Kenya since \_\_\_\_\_) (Outside Kenya since \_\_\_\_\_)

\_\_\_\_\_

(2) Present residential address:

(Kenya since \_\_\_\_\_) (Outside Kenya since \_\_\_\_\_)

\_\_\_\_\_

(3) Last two addresses in Kenya, if any, during the past ten (10) years:

(Since \_\_\_\_\_) (Since \_\_\_\_\_)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Professional & academic qualifications:

*Particulars*                      *Year*  
*obtained*

(1) Highest academic qualification

_____	_____
_____	_____
_____	_____
_____	_____

(2) Special awards or honors (if any)

_____	_____
_____	_____
_____	_____

(3) Training courses and seminars

_____	_____
_____	_____
_____	_____

(4) Membership in professional organisations

_____	_____
_____	_____
_____	_____

9. Occupation or employment (Present or most recent and for the past ten years)

<i>Name &amp; business of employer</i>	<i>Inclusive date</i>	
	<i>Positions held</i>	<i>from year</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

10. Names and address(es) of your bankers within the last 10 years

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.....  
.....

11. Bodies corporate (other than the applicant) where you are now an, officer, shareholder, or manager?  
Give relevant dates

.....  
.....  
.....

12. Bodies corporate other than the applicant and those listed above where you have been a director, shareholder, controller or manager at any time during the last 10 years. Give relevant dates.....  
 .....  
 .....

13. Have you, in Kenya or elsewhere, been dismissed from any office or employment, or been subjected to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If so give particulars:

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14. Past and present business affiliations (direct and indirect):

<i>Nature of business</i>	<i>Nature of affiliation i.e. director, officer, share holder with 10% and above specified etc</i>	<i>Inclusive date (month and year) from to</i>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

15. Do any of the above business affiliations maintain a business relationship with the institution? If so, give particulars:

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16. Do you hold or have you ever held or applied for a licence or equivalent authorization to carry on any business activity in Kenya or any other country? If any such application was refused or withdrawn after it was made or any authorization was revoked, give particulars:

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17. State whether the applicant with which you are, or have been, associated as a , significant shareholder or officer holds, or has ever held or applied for a licence or equivalent authorization to carry on any business activity? If so, give particulars. If any such application was refused, or was withdrawn after it was made or any licence revoked, give particulars

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18. State whether any of your past or current employer(s) or institution in which you were affiliated as shareholder, officer, etc has ever been under criminal investigation, placed under receivership or insolvent liquidation by any regulatory body or court of law.

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19. Family group: *Business affiliation (State name of business and nature of affiliation i.e. director, officer, significant shareholder . Also indicate the nature of the family group member's relation to the Applicant. A family group member can be a spouse, child, parents, brothers or sisters)*

*Name of the business*

*Nature of family member's affiliation to the business*

*Nature of the family group member's relation to the Applicant*

- 1.
- 2.
- 3.

20. Have you failed to satisfy any debt adjudged due and payable by you as a judgment debtor under an order of a court in Kenya or elsewhere or made any compromise arrangement with your creditors within the last 10 years? If so, give particulars:

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21. Have you been adjudicated bankrupt by a court in Kenya or elsewhere or has a bankruptcy petition ever been served on you? If so, give particulars:

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22. Have you, in connection with the formation or management of any body corporate, partnership or unincorporated institution, been adjudged by a court in Kenya or elsewhere, civilly liable for any fraud, misfeasance or other misconduct by you towards that body or company or towards members of it? If so, give particulars:

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23. Has any body corporate, partnership or unincorporated institution with which you are associated as a director, shareholder, controller or manager, in Kenya or elsewhere, been wound up, made subject to an administrative order, otherwise made any compromise or arrangement with its creditors or ceased trading either while you were associated with it or within one year after you ceased to be associated with it or has anything analogous to any of these events occurred under the laws of any other jurisdiction? If so, give particulars:

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24. Have you been concerned with the management or conduct of affairs of any institution which, by reason of any matter relating to a time when you were so concerned, has been censured, warned as to future conduct, disciplined or publicly criticized by, or made the subject of a court order at the instigation of any regulatory authority in Kenya or elsewhere? If so, give particulars:

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25. In carrying out your duties will, you be acting on the directions or instructions of any individual or institution? If so, give particulars:

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26. Do you, in your private capacity, or does any related party, undertake business with the applicant? If so, give particulars: particulars:

\_\_\_\_\_

27. How many shares in the applicant are registered in your name or the name of a related party? If applicable, give name(s) in which registered and class of shares:

\_\_\_\_\_

28. In how many shares in the applicant (not being registered in your name or that of a related party) are you or any party beneficially interested?

\_\_\_\_\_

29. Do you or does any related party, hold any shares in the applicant as trustee or nominee? If so, give particulars:

\_\_\_\_\_

30. Are any shares in the applicant mentioned in answer to questions 27, 28, and 29 above equitably or legally charged or pledged to any party? If so, give particulars:

\_\_\_\_\_

31. What proportion of the voting power at any general meeting of the applicant (or another body corporate of which it is a subsidiary) are you or any related party entitled to exercise or control the exercise of? \_\_\_\_\_

\_\_\_\_\_

32. Personal record of court cases or any investigation by governmental, professional or any regulatory body (including pending and prospective cases or on-going investigations):

\_\_\_\_\_

*Name of court or  
particulars of  
investigative body*

*Details of  
Status*

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

33. Documentary requirements:-

- (1) Certified statement of assets and liabilities;
- (2) Latest tax compliance certificate or certified true copy of income tax returns;
- (3) Two letters of character references from individuals other than relatives who have personally known the undersigned for at least ten years; and
- (4) Two letters, duly certified from financial institutions with whom the undersigned has had dealings for the last two years on the performance of past and present accounts such as unauthorised overdraft on deposit accounts, past due or delinquent accounts.

34. If this questionnaire is submitted in connection with an application for licensing, please provide any other information which may assist the Central Bank in reaching a decision on the application.

**DECLARATION**

I certify that all the information contained in and accompanying this form is complete and accurate to the best of my knowledge, information and belief and that there are no other facts relevant to this application of which the Central Bank should be aware.

I further undertake that, in the event that the Bureau is granted a licence under these Regulations, I will notify the Central Bank of any material changes to, or affecting the completeness or accuracy of the answers to the questions above as soon as possible, but in any event not later than twenty one days after the day that the changes come to our attention.

Sworn at Nairobi, this \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
*Name* \_\_\_\_\_ *Position held*

\_\_\_\_\_  
*Signed* \_\_\_\_\_ *Date*

I know and understand the contents of this declaration and that I am making it under oath.

Sworn at Nairobi, Kenya

This \_\_\_\_\_ day of \_\_\_\_\_

\_\_\_\_\_  
*Signature of deponent* \_\_\_\_\_ *(Position)*

The deponent understands the contents of this affidavit.

Before me, \_\_\_\_\_  
COMMISSIONER FOR OATHS

- N.B.**
1. All Sections of this form must be filled
  2. If any space provided is inadequate, the required information may be supplied as an attachment labelled accordingly and reference shall be made to the relevant section of the form by placing the words “REFER TO ANNEX.....”
  3. Information provided in this form is confidential and cannot be made available without the consent of the Governor of the Central Bank.