

FORM-CBF2

Statement by individuals who are holding, or are proposing to hold, the office of a director, managing director or executive officer of a co-operative bank

(Act: sections 9, 16(2)(b), 19(1))

Confidential: Not available to the public

If insufficient space is provided, please attach a separate sheet. All fields must be completed. Where not applicable, insert words "Not applicable" or "N/A". Indicate with "x" in the block where applicable.

Name of co-operative/proposed co-operative bank ("institution"):

Surname:

Full forenames:

Former surname(s):

Other names known by

Identity number:.....

Date of birth:.....

Current residential address:
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Previous residential address:
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Period:

Period:

Current postal address:
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Previous postal address:
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.....

Period:

Period:

Email:

Tel:.....

Fax:.....

Place of birth (village, town or city):

Nationality:

Name of bank(s)/co-operative bank(s) and branch(es)/places where accounts have been held during the past 5 years:

- 1) Bank/Co-operative bank.....at (branch).....(Time period:))
- 2) Bank/Co-operative bank.....at.....(Time period:))
- 3) Bank/Co-operative bank.....at.....(Time period:))
- 4) Bank/Co-operative bank.....at.....(Time period:))
- 5) Bank/Co-operative bank.....at.....(Time period:))

Qualification	Year obtained	School/Institution
1. Attach as Annexure A , a copy of your <i>curriculum vitae</i> which must include your occupation and employment, including the name of your employer in each case, the nature of the business, the position held and relevant dates.		
2. Attach as Annexure B the following details: the capacity in which you are completing this questionnaire (i.e. as a current or prospective director, executive officer or combination of these). State your full title and describe the particular duties and responsibilities attaching to the position(s) that 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 institution's business.		
3. Are you a former director or executive officer of a co-operative bank or any other bank? If "yes", give particulars:		
	Yes	No
4. Are you a director or an executive officer of any other entity? If "yes", give particulars, including whether you will continue in that capacity:		
	Yes	No
5. Do you or any direct family member hold an interest in any entity that has a business relationship with the co-operative bank? If "yes", give particulars:		
	Yes	No
6. Do you hold or have you ever held or applied for a license or equivalent authorisation to carry on any business activity in the Republic of South Africa or elsewhere? If "yes", attach detail, including whether such application was refused or withdrawn after it was made or any authorisation that was revoked:		
	Yes	No
7. Does any institution with which you are or have been associated as a director or executive officer hold, or has it ever held or applied for, a license or equivalent authorisation to carry on any business activity? If "yes", attach particulars, including whether such application was refused, or was withdrawn after it was made or an authorisation was revoked:		
	Yes	No
8. Within the previous 10 years, have you been convicted in the Republic or elsewhere of theft, fraud, forgery or uttering a forged document, perjury, an offence under the Prevention and Combating of Corrupt Activities Act, 2004 (Act No. 12 of 2004), an offence under the Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001), or any offence involving dishonesty? If "yes", give particulars of the court by which you were convicted, the offence, the penalty imposed and the date of conviction:		
	Yes	No
9. Have you ever been convicted of an offence committed after the Constitution of the Republic of South Africa, 1993, took effect, and been sentenced to imprisonment without the option of a fine? If "yes", give particulars of the court by which you were convicted, the offence, the penalty imposed and the date of conviction:		
	Yes	No
10. Have you ever contravened the provisions of any law the object of which is the protection of the public against financial loss? If "yes", give particulars:		
	Yes	No
11. Are you a former director or executive officer of a financial services co-operative, co-operative bank or any other bank where your actions contributed to the inability of that co-operative bank or other bank to pay its debts? If "yes", give particulars:		
	Yes	No

<p>12. Have you, in the Republic or elsewhere, been censured, disciplined, warned as to future conduct, or made the subject of a court order at the instigation of, any regulatory authority or any professional body to which you belong or belonged, or have you ever held a practicing certificate subject to conditions not normally associated with the holding of such certificate? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 338 1315 398">Yes</td> <td data-bbox="1315 338 1410 398">No</td> </tr> </table>	Yes	No
Yes	No		
<p>13. Have you, or has any body corporate, partnership or unincorporated institution with which you are, or have been, associated as a director or executive officer been the subject of an investigation, in the Republic or elsewhere, by or at the instigation of a government department or agency, professional association or other regulatory body? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 506 1315 566">Yes</td> <td data-bbox="1315 506 1410 566">No</td> </tr> </table>	Yes	No
Yes	No		
<p>14. Have you, in the Republic or elsewhere, been dismissed from any office or employment, or subjected to formal disciplinary proceedings in terms of which you were found guilty of any misconduct or transgression by your employer or a professional body to which you belonged? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 651 1315 712">Yes</td> <td data-bbox="1315 651 1410 712">No</td> </tr> </table>	Yes	No
Yes	No		
<p>15. Have you ever been declared insolvent (either provisionally or finally) by a court in the Republic or elsewhere, or has a bankruptcy petition ever been served on you? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 763 1315 824">Yes</td> <td data-bbox="1315 763 1410 824">No</td> </tr> </table>	Yes	No
Yes	No		
<p>16. Have you in connection with the formation or management of any body corporate, partnership or unincorporated institution, been adjudged by a court in the Republic or elsewhere, civilly liable for any fraud, misfeasance or other misconduct by you towards such a body or company or towards any members thereof? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 909 1315 969">Yes</td> <td data-bbox="1315 909 1410 969">No</td> </tr> </table>	Yes	No
Yes	No		
<p>17. Have you ever been convicted (whether in the Republic or elsewhere) of theft, fraud, forgery, perjury or any offence involving dishonesty in connection with the formation or management of a co-operative or other corporate entity? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 1055 1315 1115">Yes</td> <td data-bbox="1315 1055 1410 1115">No</td> </tr> </table>	Yes	No
Yes	No		
<p>18. Has any body corporate, partnership or unincorporated institution with which you were associated as a director or executive officer, in the Republic or elsewhere, been wound up, made subject to an administration 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 such other jurisdiction? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 1245 1315 1305">Yes</td> <td data-bbox="1315 1245 1410 1305">No</td> </tr> </table>	Yes	No
Yes	No		
<p>19. Have you been concerned with the management or conduct of the affairs of any institution that, by reason of any matter relating to a time when you were so concerned, has been censured, warned as to future conduct, disciplined or made the subject of a court order at the instigation of any regulatory authority in the Republic or elsewhere? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 1413 1315 1473">Yes</td> <td data-bbox="1315 1413 1410 1473">No</td> </tr> </table>	Yes	No
Yes	No		
<p>20. Do you, or does any related party of whom you are aware, undertake business with this institution? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 1536 1315 1597">Yes</td> <td data-bbox="1315 1536 1410 1597">No</td> </tr> </table>	Yes	No
Yes	No		
<p>21. Are you currently, or do you, other than in a professional capacity, expect to be, engaged in any litigation in the Republic or elsewhere? If “yes”, give particulars:</p>	<table border="1"> <tr> <td data-bbox="1222 1648 1315 1709">Yes</td> <td data-bbox="1315 1648 1410 1709">No</td> </tr> </table>	Yes	No
Yes	No		
<p>22. Do you have a basic knowledge and understanding of the risks to which co-operative banks are exposed? If “no”, please describe how you intend to gain the necessary knowledge and understanding within a period of one year.</p>	<table border="1"> <tr> <td data-bbox="1222 1783 1315 1843">Yes</td> <td data-bbox="1315 1783 1410 1843">No</td> </tr> </table>	Yes	No
Yes	No		

23. Have you acquainted yourself with, and do you understand, the extent of the rights and powers, as well as your responsibilities and duties as contained in section 16 of the Co-operative Banks Act, 2007 (Act No 40 of 2007)? (To be completed only by directors or prospective directors.)

Yes	No
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24. Have you acquainted yourself with, and do you understand, the extent of your responsibilities and duties as outlined in the Regulation 9 issued in terms of the Co-operative Banks Act, 2007 (Act No 40 of 2007) (To be completed only by directors or prospective directors of the entity)

Yes	No
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Declaration

I.....hereby declare the following:

This statement and attachments consist ofpages, each signed by me.

I certify that the content of this declaration is true, to the best of my knowledge and belief. I am aware that should it be submitted as evidence and I know that something appears therein that I know to be false or believe not to be true, I may be liable to prosecution.

I undertake that, as long as I continue to be a director or executive officer of the institution, I will notify the relevant supervisor of any material changes to, or affecting the completeness or accuracy of, the information supplied by me as soon as possible, but in no event later than 30 days from the day that the changes come to my attention.

I agree that the relevant supervisor may request any person to assist him or her in assessing if a person is fit and proper to act as a director, managing director or executive officer of a proposed co-operative bank in accordance with section 9(2) of the Act.

I know and understand the content of this declaration.

I am willing to take the prescribed oath and consider the prescribed oath to be binding on my conscience.

Yes

or

I am willing to take the prescribed affirmation and consider the prescribed affirmation to be binding on my conscience.

Yes

.....

Signature of individual who is holding or is proposing to hold the office of a director or an executive officer of a co-operative bank

Commissioner of Oaths:

I certify that the above statement was taken by me and that the deponent has acknowledged that he/she knows and understands the content of this statement. This statement was sworn to/affirmed before me and the deponent's signature was placed thereon in my presence at.....on thisday of, 20.....

Detail or stamp

FULL NAMES:

EX OFFICIO:

AREA:

ADDRESS:

Declaration by chairman of the co-operative bank / proposed co-operative bank

I, the undersigned,being chairman of the board of directors of:

.....
(insert name of co-operative bank / proposed co-operative bank)

confirm that I have carefully studied all information supplied in this statement and, after discussion with the applicant and all other members of the board, and after having taken into account any other information at my disposal or that has come to my attention, am of the opinion that the applicant is fit and proper to take up office in this institution with effect from.....

NAME:.....

SIGNED:.....

DATE:.....

For official use