

**Form II**  
**(RULE 6)**  
**SECURITIES ACT, 2010**  
**SECURITIES EXCHANGES RULES, 2013**  
**INFORMATION ON CHIEF EXECUTIVE OFFICER AND DIRECTORS**

Notes:

1. Please read the explanatory notes and questions carefully before completing the form.
2. All questions must be answered. If a question is not applicable, please mark “N.A.” in the space provided. If there is insufficient space for your answers, please attach annexure(s) which should be identified as such and signed by the signatories to this application.
3. Where there is an asterisk (\*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. Please use a separate form for each director and chief executive officer of the applicant.
6. This application is to be signed by 2 directors or a director and a secretary of the applicant, and must be accompanied by the relevant documents and information requested in the various parts of this application.

**1. PROVIDE THE FOLLOWING DETAILS FOR THE CHIEF EXECUTIVE OFFICER OR THE DIRECTOR OF THE APPLICANT.**

(a) Name (Mr/Miss/Mrs/Mdm/Dr\*):

.....

(b) Residential address and country:

.....

(c) Status:

Chief Executive Officer

Director

(d) Telephone and facsimile number(s):

Home	Office	Facsimile

(e) Place of birth and date of birth (dd/mm/yy):

.....

(f) Nationality (for non-Swaziland citizens, please state whether you are a Swaziland permanent resident):

.....

(g) PIN (for Swaziland citizen or permanent resident)/ Passport number (for non-Swaziland citizen):

.....

2. Set out in the following format information on the chief executive officer's or director's highest academic and professional qualifications attained.

Name and location of school/college/university/institution	Period (mm/yy)		Certificate/diploma/degree awarded/ professional qualifications
	From	To	

3. Set out in the following format information on the chief executive officer's or director's employment history (including periods of part-time employment or unemployment), business and other activities during the past 10 years.

Name and address of employer (if self-employed, please indicate)	Nature of business of employer	Designation and Department	Brief description of duties	Period (mm/yy)	
				From	To

4. Set out in the following format information on the chief executive officer's or director's directorships in any company.

Name of company and place of incorporation	Nature of business	Directorship (executive/nonexecutive)	Date of appointment (mm/yy)	Percentage shareholding in company (if any)

## 5. FIT AND PROPER TEST

If the answer to any of the following questions is in the affirmative, attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the applicant and its shareholders are considered to be fit and proper persons.

### Honesty, Integrity and Reputation

1. Within the past 10 years has the appointee-
  - (i) been a director, partner or concerned in the management of a business that has been censured, disciplined, suspended or refused membership or registration by FSRA, any other regulatory authority, an operator of a market or a clearing facility, any professional body or government agency, whether in Swaziland or elsewhere;
 

.....
  - (ii) been a director, partner or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, the licensed person was a director, partner or concerned in the management of the business, whether in Swaziland or elsewhere;
 

.....
  - (iii) been declared insolvent in Swaziland or elsewhere;
 

.....
  - (iv) been dismissed or asked to resign from office; employment; a position of trust; or a fiduciary appointment or similar position, whether in Swaziland or elsewhere;
 

.....
  - (v) been subject to disciplinary proceedings by his current or former employer(s), whether in Swaziland or elsewhere;

.....  
(vi) been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Swaziland or elsewhere; and  
.....

(vii) been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Swaziland or elsewhere.  
.....

**Financial Soundness**

2. Within the past 10 years, has the appointee-

(a) been or is unable to fulfil any of its or his financial obligations, whether in Swaziland or elsewhere;  
.....

(b) entered into a compromise or scheme of arrangement with its or his creditors, being a compromise or scheme of arrangement that is still in operation, whether in Swaziland or elsewhere;  
.....

(c) been subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Swaziland or elsewhere;  
.....

**COMPETENCE AND CAPABILITY**

3. The appointee-

(a) has satisfactory past performance or expertise, having regard to the nature of the applicant's proposed business or duties, as the case may be, whether in Swaziland or elsewhere;  
.....

(b) has satisfactory educational qualification or experience, whether in Swaziland or elsewhere, having regard to the nature of the duties he is to perform.  
.....

**DECLARATION**

1. We are aware that section 66 of the Financial Services Regulatory Authority Act, 2010 q relating to false statements made in applications.

2. We are aware that the Registrar may refuse the application for approval of chairman/ chief executive officer/director/key person\* if the appointee fails to satisfy the Authority that he/she\* is a fit and proper person to be approved.
- 3 We declare that all information given in this application and in the attached annexure(s) (if any) is true and correct.

**To the Registrar**

On the basis of due and diligent enquiry made on the background of the appointee named in this form and other information available, we believe him/her\* to be of good character and reputation and have the competence and experience, to perform the functions and duties of a chairman/ chief executive officer/director /key person\*.

Signature	Signature	Signature
Name of Director	Name of Director/Secretary*	Appointee
Date (dd/mm/yy)	Date (dd/mm/yy)	Date (dd/mm/yy)