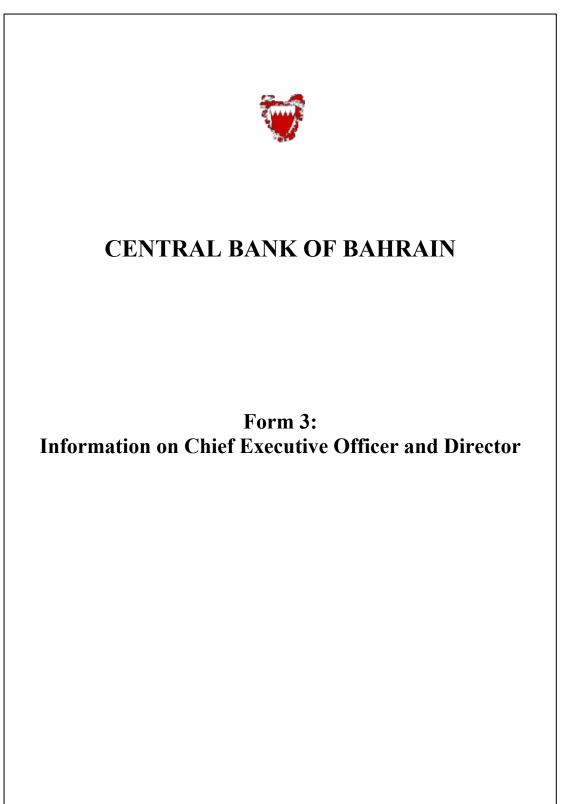
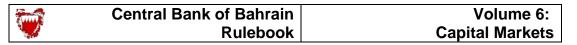
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<b>W</b>	Rulebook	Capital Markets

## Name of Proposed Licensee





Form 3: Information on Chief Executive Officer and Director	
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#### Form 3: INSTRUCTIONS

- 1. Applicants must submit this Form under cover of a letter signed by an authorised signatory of the applicant. Various supporting documentation specified in the Form must also be appended to the application.
- 2. References to an applicant mean the proposed licensee seeking authorisation. An applicant may appoint a representative such as a law firm or professional consultancy to prepare and submit the application. However, the applicant retains full responsibility for the accuracy and completeness of the application, and is required to certify the application form accordingly. The CBB also expects to be able to liaise directly with the applicant during the authorisation process, when seeking clarification of any issues.
- 3. Complete all sections as fully as possible, attaching supporting documents and continuation sheets where appropriate. Attach annex(es) signed by the signatories, if there is insufficient space for your answers. The application should be written in black ink in BLOCK CAPITALS or typed.
- 4. Failure to provide all the required information may result in significant delays in processing the application. The CBB does not accept responsibility for any loss caused to the applicant by any such delay.
- 5. Place a tick  $(\sqrt{)}$  in the relevant boxes where appropriate. Where there is an asterisk (\*), delete whichever is inapplicable. If any question is not applicable given your particular circumstances, please clearly indicate by marking 'N/A', with an explanation as to why it does not apply. Please provide a full explanation for any question that cannot be answered at this stage. Please note that failure to provide the required information may prejudice an application and may cause delay.
- 6. Please use a separate form for each director and chief executive officer of the applicant
- 7. All documentation provided to the CBB must be in either the Arabic or English languages. Any documentation in a language other than English or Arabic must be accompanied by a certified English or Arabic translation thereof.
- 8. The **original** completed form, together with supporting documentation, should be submitted to:

The Director, Capital Markets Supervision Directorate Central Bank of Bahrain P.O. Box 27 Manama Kingdom of Bahrain

- Queries may be addressed to the Director, Capital Markets Supervision Directorate, on (+973) 17547909/17547907 (telephone), (+973) 17532957 (fax) and ali@cbb.gov.bh (email).
- 10. If there are any changes in the information furnished in the application prior to the completion of the review of this application, the Central Bank of Bahrain (CBB) should be notified immediately.



## Form 3: INSTRUCTIONS (Continued)

11. Finally, applicants are also reminded that providing to the CBB any information which is false or misleading in connection with the submission of this application or any related information may result in the refusal of the application or, if discovered later, the subsequent cancellation of any license issued.



#### Form 3: DECLARATION

We certify that we have read and understood the provisions of the Central Bank of Bahrain and Financial Institutions Law 2006 (and any regulations issued thereunder). In particular, (i) we are aware that it is an offence under the above law fraudulently or negligently to provide to the Central Bank of Bahrain (CBB) any information which is false or misleading in connection with an application for a license or otherwise; and (ii) we are aware that it is an offence to carry on the business for which a license is hereby sought without such license being granted.

We certify that the information given in answer to the questions above is complete and accurate to the best of our knowledge and belief and that there are no other facts relevant to this application of which the CBB should be aware. We are also aware that we may be subject to civil and/or criminal liability or such action that may be taken by the CBB or any other regulatory authority if any of the above stated information is subsequently found to be false or misleading information. We also confirm that no business of the type for which this license is now sought will be carried on by us prior to obtaining such license.

We undertake to inform the CBB of any changes material to the application that may arise while the CBB is considering the application. We further undertake that, in the event that the institution is granted the license which is hereby sought, we will notify the CBB of any material changes to or affecting the completeness or accuracy of, the information provided in this form as soon as possible, but in any event no later than that required by the Module.

The above declaration must be signed by at least two major proposed controllers (with an interest in the future licensee in excess of 10%). In the case of controllers that are legal persons, the declaration must be signed by 2 directors and bear the corporate seal.

#### WHERE THE PROPOSED CONTROLLER IS A NATURAL PERSON:

Director (print name)	Signature of director	Date
WHERE THE PROPOSED CONTROLLE	R IS A LEGAL PERSON:	
Name of applicant (please print name)	Signature of applicant	Date
Name of applicant (please print name)	Signature of applicant	Date



## Form 3: Contact Information

Please provide full contact details of person(s) with whom the CBB can communicate regarding this application. Where a professional adviser is given as a contact point, a principal of the applicant must also be given as a contact point.

Contact Point 1
Name:
Title:
Capacity <sup>1</sup> :
Tel:
Fax:
E-mail:

Contact Point 2 (if applicable)

Title: \_\_\_\_\_

Capacity <sup>1</sup> :	
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Tel:			
-			

Fax:			
E-mail:			

<sup>&</sup>lt;sup>1</sup>(e.g.: professional adviser to the applicant, proposed director of applicant.)



#### Form 3: Section I – Chief Executive Officer/Director Details

# Please provide the following details for the chief executive officer or the director of the applicant:

- 1. Name (Mr./Miss/Mrs./Mdm./Dr.\*):
- 2. Residential address and country:
- 3. Status:
- \_\_\_\_ Chief Executive Officer
- \_\_\_\_ Director
- 4. Telephone and facsimile number(s):

Home: Office: Facsimile:

- 5. Place of birth and date of birth (dd/mm/yy):
- 6. Nationality (for non-Bahraini citizens, please state whether you are a Bahrain permanent resident):
- 7. CPR number (for Bahraini citizen or permanent resident) / Passport number (for non-Bahraini citizen):



#### Form 3: Section II – Academic and Professional Qualifications

Provide information on the chief executive officer's or director's highest academic and professional qualifications attained in the table below:

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



### Form 3: Section III – Employment History

Provide 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 in the table below:

Name and address of employer (if self-	Name of business of	Designation and Department	Peri (mm/	
employed, please indicate)	employer		,	
			From	То



## Form 3: Section IV – Directorships

Set out in the following format information on the chief executive officer's or director's directorships in any corporation:

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