



# **CENTRAL BANK OF BAHRAIN**

## **Form 3:**

### **Application for Approved Person Status**

**(Application for approved person status in the Kingdom of Bahrain)**



**Form 3: Application for Approved Person Status**

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**Form 3: INSTRUCTIONS**

**PLEASE NOTE:**

1. This form should be completed by referring to Volume 1 (Conventional banks) of the CBB Rulebook, in particular Module LR (Licensing Requirements). The rules applicable to Approved Persons are found in Chapter LR-1A.
2. Applicants should satisfy themselves that they meet the requirements of the Rulebook before submitting an application. This form contains the principal elements that are required, but should applicants consider that there is additional evidence of relevance to the application, this should be submitted with this form. It should not be assumed that information is known to the CBB merely because it is in the public domain or has previously been disclosed to the CBB or another regulatory body. If there is any doubt about the relevance of information, it should be disclosed.
3. Complete all sections as fully as possible, attaching supporting documentation and continuation sheets where appropriate. The application should be written in ink in BLOCK CAPITALS or typed. It must be signed by the applicant in ink in a colour other than black.
4. Failure to provide all the required information may result in significant delays in processing. The CBB does not accept responsibility for any loss caused to the applicant by any delay.
5. 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.
- 5A. The application form must be accompanied by certified copies of original identification documents which contain a photograph of the concerned applicant, the applicant's full name and details of date of birth. These would include passport and/or identity card from home country of the applicant. Any document copied for the purpose of identification verification must be original. Certification must be performed by an official of the concerned licensee (if already licensed), a lawyer, or a Government body such as an Embassy or Ministry. Certification may also be made at the CBB subject to the submission of the original documents. The certification must include the words "original sighted" together with a date and signature of the concerned authorised official (along with corporate stamp where applicable). The certifier's contact details should be clearly available (e.g. business card) with the certification.
6. 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 will cause delay.
7. Where the request for approved person status *forms part of a new license application*, the **original** completed form, together with supporting (certified) documentation, should be submitted to:

The Director, Licensing & Policy Directorate  
Central Bank of Bahrain  
PO Box 27  
Manama  
Kingdom of Bahrain



**Form 3: INSTRUCTIONS (continued)**

8. Where the request is in relation to an ***existing conventional bank licensee***, the **original** completed form, together with supporting (certified) documentation, should be submitted (as appropriate) to:

The Director, Retail Banks Supervision Directorate

or

The Director, Wholesale Banks Supervision Directorate

Central Bank of Bahrain

PO Box 27

Manama

Kingdom of Bahrain

- 8A. Where the request is in relation to an ***existing conventional bank licensee dealing with an MLRO or DMLRO***, the **original** completed form, together with supporting (certified) documentation, should be submitted to:

The Director, Compliance Directorate

Central Bank of Bahrain

PO Box 27

Manama

Kingdom of Bahrain

9. Queries may be addressed to:

***For applications that form part of a new license application:***

The Director, Licensing & Policy Directorate

Tel: +973 17 547605

Fax: +973 17 530228

E mail: [albassam@CBB.gov.bh](mailto:albassam@CBB.gov.bh)

***For applications that are for an existing conventional bank licensee, other than for MLRO or DMLRO***

The Director, Retail Banks Supervision Directorate

Tel: +973 17 547408

Fax: +973 17 536811

E-mail: [yhasan@CBB.gov.bh](mailto:yhasan@CBB.gov.bh)

Or

The Director, Wholesale Banks Supervision Directorate

Tel: +973 17 547454

Fax: +973 17 536811

E-mail: [isa@cbb.gov.bh](mailto:isa@cbb.gov.bh)

***For applications that are for an existing conventional bank licensee, dealing with MLRO or DMLRO***

The Director, Compliance Directorate

Tel: +973 17 547107

Fax: +973 17 535673

E-mail: [compliance@cbb.gov.bh](mailto:compliance@cbb.gov.bh)

10. Those submitting a Form 3 are reminded that it is an offence under the CBB Law, Decree No. (64) of 2006, and any regulations issued there-under, to provide the CBB any information which is false or misleading in connection with the submission of this application or any related information.



**Form 3: DECLARATION**

I certify that the information in this Form 3 is accurate and complete to the best of my knowledge and belief and that there are no other facts relevant to this application of which the Central Bank of Bahrain (CBB) should be aware.

I authorise the CBB to make such enquiries and seek further information it deems necessary in considering this application for approved person status (or notification, in the case of financial instruments traders).

I am aware that it is an offence under the CBB Law, Decree No. (64) of 2006 and any regulations issued thereunder to provide to the CBB any information which is false or misleading.

I also confirm that I will not assume the responsibilities of the approved person for which this application is being submitted prior to obtaining such approval (not applicable, in the case of financial instruments traders).

I undertake to inform the CBB of any changes material to the application which arise while the CBB is considering this form. I further undertake that, in the event that the approved person status being sought is granted, I will notify the CBB of any material changes to or affecting the completeness or accuracy of, the information provided in this Form 3 as soon as possible, but in any event no later than 21 days from the day that the changes come to my attention.

\_\_\_\_\_  
Name of applicant (please print name)

\_\_\_\_\_  
Signature of applicant  
(Do not sign in black ink)

\_\_\_\_\_  
Date

Note: The use of the term “applicant” throughout this form refers to the individual seeking the Approved Person Status.



**Form 3: Contact Information**

Please provide full contact details of the applicant and an authorised representative of the licensee (e.g. Board member or senior management) or of the person seeking a license with whom the CBB can communicate with, regarding this application/notification.

**Applicant:**

Name: \_\_\_\_\_

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

Tel: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

We have reviewed the information given by the applicant on this form and upon enquiry of the same, can confirm that such answers are, in our opinion, correct and accurate in all respects.

**Authorised Representative of the Licensee/Licensee Applicant:**

Name: \_\_\_\_\_

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

Tel: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Signature: \_\_\_\_\_

Date \_\_\_\_\_

Company Stamp:



**Form 3: Section I – Applicant Details**

1. Name(s) of the conventional bank licensee(s) in respect of which this application for approved person status is being made:

\_\_\_\_\_

2. Title of position for which this application is being submitted:

\_\_\_\_\_

3. Name of the applicant for approved person status:

First Names: \_\_\_\_\_

Family Name: \_\_\_\_\_

4. Has the applicant had any previous name (s) by which he (she) is known?

YesNo

*If yes, please specify* \_\_\_\_\_

5. Date and place of birth:

Place \_\_\_\_\_ Date: Day \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

6. Nationality of applicant:

\_\_\_\_\_

7. Nationality of and name(s) of applicant's spouse:

Name of spouse: \_\_\_\_\_

Nationality of spouse: \_\_\_\_\_



**Form 3: Section I – Applicant Details (continued)**

8. Beginning with the applicant's current address please list all previous private addresses during the last 10 years with relevant dates:

Date	Address

9. Identity card; Personal number; National Insurance number; and/or Social Security number and country of issue:

Type (e.g. Identity card, social security number, etc.): \_\_\_\_\_

Number: \_\_\_\_\_ Country of issue: \_\_\_\_\_

10. Passport Information:

Passport Number: \_\_\_\_\_ Place of issue: \_\_\_\_\_

Date of issue: \_\_\_\_\_ Date of expiry: \_\_\_\_\_

11. Please attach a certified copy of your passport or identity card. Please see instructions Paragraph 5A. for certification.

*(Note that the identification document must contain a photograph and be certified by one of the following:*

- (a) a registered lawyer;*
- (b) a registered notary;*
- (c) a chartered accountant;*
- (d) a government ministry;*
- (e) an official of an embassy or consulate; or*
- (f) an official of a CBB licensee.*

*The individual providing the above certification must include clear contact details (e.g. business card or company stamp).*

**Attached**

Yes ☐ No ☐





**Form 3: Section II – Details of Controlled Function**

1. Controlled function(s) for which application is sought (Ref: Section LR-1A.1):

- ☐ Member of the Board of Directors
- ☐ Chief Executive / General Manager and their Deputies
- ☐ Chief Financial Officer and/ or Financial Controller
- ☐ Head of Risk Management
- ☐ Head of Internal Audit
- ☐ Head of Shari'a Review
- ☐ Compliance Officer
- ☐ Money Laundering Reporting Officer
- ☐ Deputy Money Laundering Reporting Officer
- ☐ Heads of other Functions

2. If the form is being completed for a Member of the Board of Directors, please tick **✓** **one** fo the following (Ref: Glossary in Part B of Volume 1 for the definition of each term below):

- ☐ Executive Director
- ☐ Non-Executive Director
- ☐ Independent Director

3. Specify responsibilities of the proposed controlled function:

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**Form 3: Section III – Qualifications & Experience**

1. Please provide details and certified copies of any professional qualifications and the year and place in which these were obtained (with originals or certified copies of certificates and translations if not in Arabic or English).

**Original or Certified Copies Attached**    Yes ☐ No ☐

Membership No.	Professional Qualification	Year Obtained

2. Please provide details and certified copies of any further relevant qualifications (not covered in Question III.1) and the year and place in which these were obtained (with originals or certified copies of certificates and translations if not in Arabic or English).

**Original or Certified Copies Attached**    Yes ☐ No ☐

Qualification	Educational Establishment	Year Obtained



**Form 3: Section III – Qualifications & Experience (continued)**

3. Please provide details of current membership of any relevant professional bodies, their address(es) and the year of admission.

Name of Professional Body	Address	Year of Admission

**If additional professional bodies, please complete an additional sheet.**

4. Beginning with your present employment, please provide details of all occupations and employment over the past 10 years, including the **full name and address** of the employer, the nature of the business, the position held and the relevant dates (**please enclose curriculum vitae**). Please account for any gaps in employment history.

Period Covered	Name of Employer <sup>1</sup>	Address	Nature of Business	Position Held

**If additional employment experience, please complete an additional sheet.**

<sup>1</sup> If self-employed, mark as self-employed.



**Form 3: Section III – Qualifications & Experience (continued)**

5. Please provide details of any body corporate of which the applicant is currently a director, controller, manager, or company secretary, and the countries in which they are registered. Please state whether any of these positions will be retained if the Approved Person Status is granted.

Name of Corporate Body	Position Held	Country of Registration
	Executive Director <input type="checkbox"/>	
	Non-Executive Director <input type="checkbox"/>	
	Controller <input type="checkbox"/>	
	Manager <input type="checkbox"/>	
	Company Secretary <input type="checkbox"/>	
	Executive Director <input type="checkbox"/>	
	Non-Executive Director <input type="checkbox"/>	
	Controller <input type="checkbox"/>	
	Manager <input type="checkbox"/>	
	Company Secretary <input type="checkbox"/>	
	Executive Director <input type="checkbox"/>	
	Non-Executive Director <input type="checkbox"/>	
	Controller <input type="checkbox"/>	
	Manager <input type="checkbox"/>	
	Company Secretary <input type="checkbox"/>	

**If additional corporate positions are held, please complete an additional sheet.**



**Form 3: Section IV – Personal Background**

1. Name of companies or businesses that the applicant or member of the applicant's family<sup>1</sup> owns 20% or more or where the applicant has a controlling interest.

Name of Business, Address and Telephone Number	Nature of Business	Country of Incorporation

**If additional businesses qualify, please complete an additional sheet.**

<sup>1</sup>The term "family" refers to father, mother, husband, wife, children, grandparents and grandchildren.

2. Details of any outstanding litigation and/or any current proceedings against the applicant.

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3. Details of any judgment against the applicant.

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**Form 3: Section IV – Personal Background (continued)**

4. Has the applicant, or any body corporate, partnership or unincorporated institution to which the applicant has, or has been associated with as a director, controller, manager or company secretary, ever applied to any regulatory authority in any jurisdiction for a license or other authority to carry on **banking activity or occupy a controlled function (approved person)**?

Yes ☐ No ☐

If yes, please list all applications showing whether they have been successful or unsuccessful.

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5. Has the applicant at any time been convicted of any offence by any court, including civil or military (*excluding any minor traffic offence*) ?

Yes ☐ No ☐

If yes, please give full particulars of the court by which the applicant was convicted, the offence and the penalty imposed and the date of conviction.

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**Form 3: Section IV – Personal Background (continued)**

6. Has the applicant ever been censured, disciplined or publicly criticised by any Court of Law or by any officially appointed enquiry whether in the Kingdom of Bahrain or elsewhere or by any professional body or trade association to which the applicant has belonged or been the subject of a regulatory order?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place and the party having taken this action.

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7. Has the applicant, or any body corporate, partnership or unincorporated institution to which the applicant has, or has been associated with as a director, controller, manager or company secretary been the subject of an investigation by a governmental, professional or other regulatory body?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place and the party having taken this action.

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**Form 3: Section IV – Personal Background (continued)**

8. Has the applicant ever been the subject of a disciplinary enquiry?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place and the party having taken this action.

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9. Has the applicant ever been suspended from any office, or asked to resign?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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10. Has the applicant been dismissed from any office or employment or barred from entry to any profession or occupation?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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**Form 3: Section IV – Personal Background (continued)**

11. Has the applicant ever been disqualified from acting as a director of a company or from acting in the management or conduct or the affairs of any company, partnership or unincorporated association?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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12. Has the applicant been adjudged bankrupt by a court?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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13. Has the applicant ever at any time been declared bankrupt and/or have any money judgments been made against the applicant which have not been satisfied in full?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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**Form 3: Section IV – Personal Background (continued)**

14. Has the applicant, in connection with the formation or management of any body corporate, partnership or unincorporated institution been adjudged by a court civilly liable for any fraud, misfeasance or other misconduct by the applicant towards such a body or company or toward any members thereof?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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15. Has any body corporate, partnership or unincorporated institution with which the applicant is or was associated as a director, controller, manager, partner or company secretary been compulsorily wound up or made a compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while the applicant was associated with it or within one year after the applicant ceased to be associated with it?

Yes ☐ No ☐

If yes, please give full particulars of the action taken, where and when it took place.

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16. In carrying out his duties will the applicant be acting on the directions or instructions of any other person(s)?

Yes ☐ No ☐

If yes, please give full particulars.

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**Form 3: Section IV – Personal Background (continued)**

17. Provide the name and address of one or more bankers as a reference for the CBB to obtain information on the conduct of your financial affairs over the past 5 years:

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18. Has the applicant ever been a director, partner or manager of a corporation which has been liquidated or under administration?

Yes ☐ No ☐

If yes, please give full particulars of the situation, including where and when it took place.

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**Form 3: Section V – Chairman and Non-Executive Directors only**

1. How much time will the applicant give to the work of the conventional bank licensee?

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2. What particular contribution does the applicant believe he will bring to the work of the conventional bank licensee?

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