

**Regulation 5**

**SCHEDULE 2**

**Particulars of Directors, Controllers, Chief Executives and Managers**

If insufficient space is provided, please attach a separate sheet of paper.

1. Name of company in connection with which this questionnaire is being completed.	
2. Surname Forename(s) Any previous name(s) by which you have been known.	..... .....
3. Are you completing this questionnaire as a Director or a Controller or a Manager (See Note on page 3 of Schedule 2).	
4. Private Address.	
5. Previous private addresses during the last seven years.	
6. Place and date of Birth.	
7. Nationality and former nationality.	
8. Present occupation or employment and occupations and employment during the last ten years, including the name of the employer, the nature of the business, the position held and relevant dates.	
9. Name any bodies corporate and the countries in which they are registered: (a) of which you are now a Director, Controller or Manager.  (b) of which you have been a Director, Controller or Manager at any time during the last ten years.	..... .....

10. Professional qualifications and year in which they were obtained.	
11. Have you at any time been convicted of any offence (other than (a) an offence committed when you were under the age of 18 years unless the same was committed within the last ten years, or (b) an offence in connection with the use or ownership of a motor vehicle which was tried in a court of summary jurisdiction) by any court, whether civil or military? If so, give full particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction.	
12. Have you been censured, disciplined or criticised by any professional body to which you belong or belonged or have you ever held a practising certificate subject to conditions? If so, give full particulars.	
13. Have you, or any body corporate, partnership or unincorporated institution with which you are, or have been associated as a Director, Controller or Manager, been the subject of an investigation by a governmental, professional or other regulatory body? If so, give full particulars.	
14. Have you been dismissed from any office or employment or barred from entry to any profession or occupation? If so, give full particulars.	
15. Have you been adjudicated bankrupt by a court? If so, give full particulars.	
16. Have you failed to satisfy any debt adjudged due and payable by you as a judgment-debtor under an order of a court? If so, give full particulars.	

<p>17. Have you, 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 you towards such a body or company or towards any members thereof? If so, give full particulars.</p>	
<p>18. Has any body corporate, partnership or unincorporated institution with which you were associated as a Director, Controller or Manager been compulsorily wound up or made any 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 you were associated with it or within one year after you ceased to be associated with it? If so, give full particulars.</p>	
<p>19. In carrying out your duties will you be acting on the directions or instructions of any other person? If so, please give full particulars.</p>	
<p>20. Provide the name and address of two persons who can provide references appropriate to your profession and who have known of your business activities over the last 5 years or more.</p>	

I certify that the above information is complete and correct to the best of my knowledge and belief.

I became a Director/Controller/Manager of \_\_\_\_\_  
 (institution referred to in question 1) on \_\_\_\_\_ (date)

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

**NOTE**

**Directors, Controllers and Managers:**

The term "Controller" should be taken to include a person, whether an individual or a body corporate, in accordance with whose directions or instructions any of the Directors of a company are accustomed to act or who, either alone or with associates, is entitled to exercise control of one third or more of the voting power at any general meeting of the company or its parent. Where a controller is a body corporate, the Insurance Supervisor may wish to look through that body to the ultimate controller or controllers from whom appropriate information as described above may be sought.

"Manager" is more narrowly defined as applying only to a person who under the immediate authority of a director or chief executive either exercises managerial functions or is responsible for maintaining accounts or other records. The term should be taken to include the Company Secretary.

In the case of a company whose principal place of business is outside the Isle of Man, the expression "Chief Executive" includes individuals responsible for the conduct of its Isle of Man insurance business, whether located in the company's branch or elsewhere. Companies which are in doubt about whether they need to supply details of particular individuals should consult the Insurance Supervisor.