

GUYANA GOLD BOARD
COMPLIANCE DEPARTMENT
FIT AND PROPER FORM FOR DIRECTORS, MANAGERS AND
SHAREHOLDERS OF LICENSED DEALERSHIPS.

This form is for official use only, and **ALL INFORMATION WILL BE KEPT WITH THE STRICTEST CONFIDENCE**. It is intended to assist the Guyana Gold Board in determining whether directors, managers, beneficial owners, responsible officers and/or main representatives are “**fit and proper**” persons to be involved in the gold trading sector as required under section 9B of the Guyana Gold Board Act, Chapter 66:01 of the Laws of Guyana¹.

IMPORTANT: PLEASE READ THE INSTRUCTIONS CAREFULLY BEFORE COMPLETING THIS FORM.

1. This form must be completed in **BLOCK LETTERS OR BE TYPE-WRITTEN**.
2. **ALL SECTIONS** of this form must be filled, however, where a question does not apply, do not leave the space blank, instead, indicate “not applicable” or N/A.
3. If the space on the form is inadequate, the required information may be provided on an attachment labelled accordingly. Reference shall be made to the relevant section of the form by placing the words “REFER TO ANNEX”.
4. This form **MUST** be completed annually indicating any changes from the previous form.

¹ Inserted into the Guyana Gold Board Act by the Fourth Schedule of the Anti-Money Laundering and Countering the Financing of Terrorism (AML/CFT) (Amendment) Act No. 17 of 2018.

SECTION 1

PERSONAL DETAILS

1. Individual Full name

First	Surname	Others
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2. Maiden Name (If Applicable)

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3. Has name been changed other than by marriage?

Yes	No
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4. If yes, please state date of change and previous name. **Please provide proof of the change.**

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5. Date of birth:

MM	DD	YYYY
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6. Place of birth:

Country:	City/Town:
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Please provide a copy of Birth Certificate.

7. Nationality

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8. Marital Status:

Single Married Widowed Divorced Other: _____

If married, please provide a copy of the Marriage Certificate.

9. Contact Number

Cell:	Home:
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10. Email Address

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11. Home Address:

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12. Have you lived at this address for less than six (6) months?

Yes	No
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13. If yes, please provide previous address(es) below:

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14. National Identification No.

Date issued:

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15. Passport No.

Date Issued:

Expiry Date:

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NB. Where identification information expires within a year, the individual is required to submit a certified copy of current identification information within 30 days of expiry.

16. Taxpayer Identification (TIN)

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17. Family Group

Name	Business Affiliation (State Name of Business and Nature of Affiliation i.e., Director, Officer, Officials, Shareholder with % Name holdings specified etc.)
(A) Spouse or Reputed Spouse:	
(B) Children:	
(C) Parents:	
(D) Brothers and Sisters:	

(E) Others:	

18. Are you a Politically Exposed Person (PEP)?

Yes

No

NB- that Section 2 of the Anti-Money Laundering and Countering the Financing of Terrorism Act Chapter 10:11 defines a **“Politically Exposed Person”** as any individual who is or has been entrusted with prominent public function on behalf of a state, including a Head of State or of government, senior politicians, senior government, judicial or military officials, senior executive of state-owned corporations, political party officials, including family members or close associates of the politically exposed person whether that person is resident in Guyana or not.”

19. If your answer is yes to question 18, please provide details:

20. Are you currently or were you previously employed by any other Supervisory/Licensing Authority in Guyana or elsewhere?

Yes

No

21. If yes, please provide the details below:

Position Held	Name of Entity	Date Approved	Date Approval Ceased

22. Have you ever been refused employment by any Supervisory Authority in Guyana or elsewhere?

Yes

No

23. If yes, please provide the details below:

Name of Supervisory Authority	Country	Name of Entity	Position Sought	Date of Refusal

SECTION 2

EXPERIENCE

1. Employment History

Occupation or Employment (Present and for the last 10 years):

PERIOD	NAME OF EMPLOYER/BUSINESS	POSITION HELD

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2. Have you, in Guyana or elsewhere, been dismissed from any office or employment, or subjected to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If so, give particulars:

3. Professional Qualifications

(a) Highest Academic Degree	Year Obtained
(b) Special Awards or Honors	
(c) Training Courses or Seminars	
(d) Membership of Professional Organisation(s)	

SECTION 3

Reputation and Character

1. A person is required to be honest, ethical, act with integrity and be financially sound. In this regard, do you have any information to disclose regarding a material issue or do you have any concerns about your ability to perform the relevant function?

Yes

No

2. Have you ever been untruthful or provided false or misleading information to the Guyana Gold Board or equivalent authority/body or been uncooperative in any dealings with Guyana Gold Board?

Yes

No

3. Have you ever been the subject of any proceeding of a disciplinary or criminal nature?

Yes

No

4. Have you ever, in any jurisdiction, been a director of a company that was struck off the register of companies by the companies' registry (or equivalent elsewhere) other than on voluntary basis?

Yes

No

5. Have you ever in any jurisdiction, been disqualified or restricted from acting as a director or from acting in any managerial capacity or in any capacity that required registration?

Yes

No

6. Have you, or any business in which you have had controlling interest or have exercise significant influence, been investigated, disciplined, suspended, or criticized by a professional body, a court or tribunal, whether publicly or privately in Guyana or elsewhere?

Yes

No

7. Have you ever been declared bankrupt by a court in Guyana or any other jurisdiction, or has ever been served a bankruptcy petition?

Yes

No

8. Have you ever agreed to an out of Court settlement at ANYTIME, prior to the date of this application in respect of legal proceedings brought against them in relation to its financial business activities?

Yes

No

9. Have you ever, in any jurisdiction, been convicted of an offence, involving money laundering, terrorist financing, fraud, misrepresentation, dishonesty, breach of trust, or an offence which would be relevant to your ability to perform the relevant function?

Yes

No

10. Have you ever, in any jurisdiction, had a civil finding, judgement or order made against you in relation to proceedings involving money laundering, terrorist financing, fraud, misrepresentation, dishonesty, breach of trust, or other matter which could affect your ability to perform the relevant function?

Yes

No

11. Has any business (or legal entity) where you held a position of responsibilities or influence been or is being investigated, disciplined, censured, or suspended by a regulatory or professional body, a court or tribunal or similar body, whether publicly or privately, in any jurisdiction?

Yes

No

12. Have you ever been associated, in ownership or management capacity, with a company, partnership or other business association that has been refused registration, authorization, membership or a licence to conduct trade, business or profession, or has had its registration, authorization, membership or licence revoked, withdrawn or terminated in Guyana or elsewhere?

Yes

No

13. As a result of the removal of the relevant licence, registration or other authority mentioned in question 3 above, have you ever been refused the right to carry on a trade, business or profession requiring a licence, registration, or other authorization in Guyana or elsewhere?

Yes

No

14. Have you ever been subjected to any justified complaint relating to regulated activities in Guyana or elsewhere?

Yes

No

15. Have you ever been charged or convicted of any criminal offence, particularly an offence relation to dishonestly, fraud, financial crime or other criminal acts or been involved in acts of misfeasance or serious misconduct in Guyana or elsewhere?

Yes

No

16. Have you ever been a director, partner or otherwise involved in the management, of a business that has gone into receivership, insolvency, or liquidation while you have been connected to that business or within one year after that connection ended, in Guyana or elsewhere?

Yes

No

17. Has your spouse (if relevant) ever been the subject of bankruptcy proceedings or has ever been adjudicated bankrupt by a court in any jurisdiction? If so, give particulars:

Yes

No

18. Have you ever been dismissed asked to resign or resigned from employment or from a position of trust, fiduciary appointment or similar because of questions about your honesty and integrity in Guyana or elsewhere?

Yes

No

19. Have you ever been disqualified, under the Anti-Money Laundering and Countering the Financing of Terrorism Act 2009 or any other legislation or regulation from acting as a director or serving in a managerial capacity in Guyana or elsewhere?

Yes

No

20. Have you ever been the subject of any adverse judgement or award, in Guyana or elsewhere that remains outstanding or was not satisfied within a reasonable period in Guyana or elsewhere?

Yes

No

21. Do you hold any directorship in any gold trading or any other institution in Guyana or elsewhere?

Yes

No

22. Have you ever refused to produce documentation required by a regulator in Guyana or elsewhere?

Yes

No

23. Do you have any reason to believe that any of your close relative or business associates, in Guyana or elsewhere, if subject to the above tests, would have responded 'yes' to any of the above questions?

Yes

No

24. Do you have any liability towards any institution in Guyana or elsewhere?

25.

Yes

No

26. If yes, please State whether it's in default.

Yes

No

27. Do you at all times while acting in your capacity as a director or executive officer of the Gold dealership undertake to:

a) Act in good faith towards the institution

Yes

No

b) Avoid conflict between your other interests and the interests of gold dealership

Yes

No

c) Place the interest of the gold dealership and its shareholders above all other interests

Yes

No

d) What do you understand to be your rights, powers, responsibilities and duties of the proposed Gold dealership as contained in the applicable laws, regulations, and guidelines?

SECTION 4

To be completed by all applicants including directors and key management persons as well as individual applicants.

1. Please provide two referees who are familiar with your gold trading service activities.

Referee 1

Name	
Position	
Address	
Email Address	

Referee 2

Name	
Position	
Address	
Email Address	

2. Have both referees given their permission?

Yes No

3. Please note that individuals seeking approval to carry on any Gold trading business who are/ have been resident outside Guyana or an extended period (more than six months) in the last five years are required to provide a clearance letter/certificate from the police authorities of that jurisdiction.

N.B: The information given in response to this questionnaire shall be kept confidential by the supervisory authority, except in cases provided for by law.

DECLARATION

I am aware that it is an offence to knowingly or recklessly provide any information which is false or misleading in connection with an application for an authorization to possess, sell and export gold. I certify that the information given above is complete and accurate to the best of my knowledge, and that there are no other facts relevant to this application of which the Guyana Gold Board should be made aware of.

Dated the _____ day of _____
(date) (month) (year)

Name: _____

Signature: _____

Position: _____