

# PALAU FINANCIAL SERVICES AUTHORITY

## CONFIDENTIAL BIOGRAPHICAL DATA

### Instructions

A confidential biographical data report must be completed and filed by each person proposing to acquire a "significant interest" in a Palau financial institution and each "principal shareholder," "director," and "executive officer" proposed in connection with an application for a license to establish a new Palau financial institution.

The Executive Commissioner of the Financial Services Authority (Executive Commissioner) may request additional information or clarification of any information submitted. The Executive Commissioner may verify the accuracy and completeness of information provided in this report.

All responses to and all attachments to this biographical data report must be legibly printed in ink or typed. Questions must be answered completely and may not be left blank. If the answer is "No," "None," or "Not Applicable," so state. If an item of information is unknown to you, so state. To the extent possible, questions should be answered in the spaces provided; additional pages may be inserted, if necessary. Information on insert pages must be keyed by number and letter to the appropriate questions. An inaccurate or incomplete report may be rejected, could result in a delay in processing the application and could lead to denial.

1. Name: \_\_\_\_\_  
*(First Name) (Middle Name) (Last Name)*

2. Residence: \_\_\_\_\_  
\_\_\_\_\_

3. Nationality: \_\_\_\_\_  
*(Citizenship) (Passport or other National I.D. Number)*

4. Date of Birth: \_\_\_\_\_  
*(month/day/year)*

5. Name & Location of Financial Institution: \_\_\_\_\_  
\_\_\_\_\_

6. Proposed Position with Institution: Director: \_\_\_\_\_ Executive Officer: \_\_\_\_\_ Principal Shareholder: \_\_\_\_\_  
*(Check all applicable)* Other (describe): \_\_\_\_\_

7. Employment History:  
(a) Provide the following information in reverse chronological order regarding your employment, self-employment, or period of unemployment during the past ten (10) years. Use additional insert sheets to provide the same information for each employer.

Employer: \_\_\_\_\_

Address: \_\_\_\_\_

Business Description: \_\_\_\_\_  
\_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Dates Employed: \_\_\_\_\_

Job Title/Description: \_\_\_\_\_  
\_\_\_\_\_

Reason for Leaving: \_\_\_\_\_  
\_\_\_\_\_



- (b) Provide information regarding any charge, indictment or conviction by any law enforcement agency against any business or enterprise with which you have been associated as an officer, director, principal shareholder. Indicate the name of the business, your interest, the nature of the charge, date, jurisdiction and location, and disposition of the matter.
  
  - (c) Describe any action or proceeding against you or a company with which you are or were associated by any government regulatory agency or professional organization which could have resulted in a sanction, loss of right or benefit, revocation of license, etc. Give the name of the organization, the nature of the proceedings, and the disposition and date.
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13. Have you ever been in a position that required a fidelity bond? If any claims were made on the bond, give details?
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14. Have you ever been refused a professional, occupational or vocational license by any public or governmental licensing agency or regulatory authority, or has any such license held by you ever been suspended or revoked? If so, give details.
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15. Have you or any corporation, partnership, or other entity in which you were an officer, director, trustee, employees, principal shareholder been named in any complaint, pleading, judgment, order, or decree filed in any court of law which cited violations or alleged violations of applicable laws? If so, give details.
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16. Have you ever been an officer, director, trustee, employee, or principal shareholder of a financial institution which became insolvent or was placed under supervision or in receivership, rehabilitation, liquidation or conservatorship while you occupied any such position or within one year thereafter? If so, give details.

17. Has the certificate of incorporation or authority or license to do business as a financial institution of which you were an officer or director ever been suspended or revoked while you occupied any such position or within one year thereafter? If so, give details.
18. Have you ever been requested, advised, ordered or told by any governmental regulatory authority, board, commission or agency to:
- (a) divest any stock ownership or other ownership interest you have in any financial institution? If so, give details.
- (b) leave or resign as an officer, director, agent, employee, consultant or representative of any financial institution? If so, give details.
19. Are you or any corporation, partnership or other entity in which you are an officer, director, trustee, employee, or principal shareholder involved as a named party in any ongoing or pending legal or administrative hearing, proceeding, or investigation? If so, give details.

I hereby declare under penalty of perjury under the laws of the Republic of Palau and any other sanction available under the Financial Institutions Act of 2001 and any amendments thereof, that I have read the foregoing Confidential Biographical Data (or have had it translated to me), that I understand the contents thereof, and that the foregoing statements are true and correct.

Dated and signed this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Print or Type Full Name)

Subscribed and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

(Seal)

\_\_\_\_\_  
(Notary Public Signature)