



Personal Information Return

for Directors, Senior Officers, Subscribers, and Shareholders of Credit Unions, Insurance Companies and Trust Companies

A. GENERAL INFORMATION

1. Form being Submitted is: [radio] New Submission [radio] Update to Existing Information [text] (specify which section of form)

2. Personal Information for: (check all that apply) [checkbox] Director [checkbox] Senior Officer [checkbox] Subscriber [checkbox] Shareholder (Controlling 10% or more of the voting shares)

Commencement date: [text] Significant Shareholder (specify %) [text]

3. Name of Financial Institution: [text]

4. Full Legal Name:

Salutation: [checkbox] Mr. [checkbox] Mrs. [checkbox] Ms.

Surname: [text] First Name: [text] Middle Names: [text]

5. All Previous Names:

Surname: [text] First Name: [text] Middle Names: [text]

6. Residential Address: (Street Number, City, Province, Postal Code)

[text]

7. Phone Number: [text] 8. Citizenship: [text]

9. Place of Birth: [text] (City, Country) 10. Date of Birth: [text] (mm/dd/yyyy)

11. If you were born outside of Canada, indicate the date of your arrival in Canada: (mm/dd/yyyy) [text]

12. Have you, at any time, resided in a country outside of Canada? [radio] YES [radio] NO

If Yes, please indicate the dates and locations (country, state, province or territory) of each residency: (mm/dd/yyyy)

From: [text] Until: [text] Location: [text]

From: [text] Until: [text] Location: [text]

13. Driver's License #: [text] 14. Issuing Province/Territory: [text]

B. EMPLOYMENT

1. Position/Occupation: [text]

2. Name of Employer: [text]

3. Employer's Address: (Street Number, City, Province, Postal Code)

[text]

4. Phone Number: [text] 5. Email Address: [text]

A most recent resume must be included with this form as per Instructions.

C. OTHER INFORMATION

1. List any memberships in professional societies or associations (if none, please indicate):

2. List any Directorships held (if none, please indicate):

3. List any companies in which you own or control more than 10% of the voting shares (if none, please indicate):

4. Connected party of a Trust or Insurance Company per section 48 of the *Financial Institutions Act*

YES NO

5. Have you ever been convicted of, or are you currently charged with an offence, under the CRIMINAL CODE of Canada, provincial/territorial legislation or the legislation of any jurisdiction outside of Canada, for which you have not been granted a pardon? (includes impaired driving but not minor traffic offences)

YES NO

If Yes, please provide the type and details of the conviction or offence:

Date: Type and Details:
(mm/dd/yyyy)

Date: Type and Details:
(mm/dd/yyyy)

A Criminal Record Check report must be provided as per Instructions.

6. Has any disciplinary action been taken against you by professional organizations or self-regulatory bodies, or civil judgments where monetary awards have been made, but not satisfied, or findings of liability against you involving fiduciary, trust or fraud claims?

YES NO

If Yes, please provide the type and details of the judgement or action:

Date: Type and Details:
(mm/dd/yyyy)

Date: Type and Details:
(mm/dd/yyyy)

7. Under the laws of any province, territory, state, or country, have you ever: (a) been petitioned into bankruptcy, (b) made a voluntary assignment in bankruptcy, or (c) filed a proposal under any bankruptcy or insolvency legislation?

YES NO

If Yes to 7. (a) or (b), please provide the following:

(i) Date of Assignment or Receiving Order: (ii) Date of Absolute Discharge:
(mm/dd/yyyy) (mm/dd/yyyy)

(iii) If Conditional, Date of Conditional Discharge:
(mm/dd/yyyy)

If Conditional Discharge, provide description of conditions:

(iv) Cause of Bankruptcy/ Insolvency:

If Yes to 7. (c) please provide the following:

(v) Date of Proposal:

(vi) Proposal was: Accepted

Rejected

(vii) Current Status:

(viii) Description of Proposal Terms:

A Bankruptcy and Insolvency Records Search Results report must be provided as per Instructions.

D. CERTIFICATION

I, the undersigned, hereby certify that the foregoing statements are true, correct and complete to the best of my knowledge, information and belief, and hereby undertake to submit a new Personal Information Return and supporting documents to the Financial Institutions Commission immediately upon any change therein.

I consent to the Financial Institutions Commission making such enquiries as it sees fit of government institutions, courts, credit bureaus, financial institutions, current and past employers, and professional organizations or self-regulatory bodies to which I belong or have belonged, for the purpose of investigating my suitability to be a person in a position to control or influence a financial institution, including, but not limited to, a criminal records search through the Royal Canadian Mounted Police or other law enforcement bodies and a bankruptcy and insolvency records search.

I acknowledge and agree that the information contained in this return and supporting documents will be used for the purposes described above. I understand that it is an offence under the *Financial Institutions Act* and the *Credit Union Incorporation Act*, as applicable, to make a false statement and that it may also be an offence under the CRIMINAL CODE of Canada.

I understand that the Financial Institutions Commission may also request additional information from me.

I am aware that I have duties and obligations under the *Company Act*, *Business Corporations Act*, *Financial Institutions Act*, or the *Credit Union Incorporation Act*, as applicable, and that it is my responsibility to fully understand these duties and obligations.

Position/Title at

Financial Institution:

Signature:

Date Signed:

(mm/dd/yyyy)

Failure to supply all required documents may delay your ability to commence duties.

Personal information is collected under the authority of s. 26(a) of the *Freedom of Information and Protection of Privacy Act*, ss. 13(2)(e), 22(2)(c), and 105 of the *Financial Institutions Act*, and ss. 11(3)(e) and 15.1(5)(a)(iii) of the *Credit Union Incorporation Act*. The information will be used and retained for purposes of administering the *Financial Institutions Act* and the *Credit Union Incorporation Act*. Should you have any questions about collection of this personal information, please contact the Freedom of Information Analyst at 604-660-3555, 2800 - 555 West Hastings Street, Vancouver, B.C. V6B 4N6.

Instructions for Completing the Personal Information Return

This return is required pursuant to sections 13(2)(e), 22(2)(c), 105, 289(3)(a) and (b) of the *Financial Institutions Act*, and sections 11(3)(e), 15.1(5)(a)(iii) and 108(2)(a) and (b) of the *Credit Union Incorporation Act*, as applicable.

- 1) To protect your privacy, mark the envelope "Private and Confidential".
- 2) Upon completion, please submit all documents through the **Secured File Transfer System**. For further information on the submission method, please contact Financial & Regulatory Reporting by email at Filings@ficombc.ca.
- 3) This return must not be handwritten except for the signature and is offered as a fillable and saveable PDF form for your convenience.
- 4) All applicable information must be provided. If additional space is required for answers, attach additional typed/printed sheets as necessary.
- 5) A resume that includes employment history up to the date of submission of this return must be provided.
- 6) Both a criminal record check, by an appropriate police agency, and a bankruptcy and insolvency check from the Office of the Superintendent of Bankruptcy Canada must be provided.
- 7) If more than one individual is identified in the search, or any of the boxes on the criminal record check results form are marked "may or may not exist" the applicant **must** apply for their criminal record. To do so, they must get fingerprinted and send a request to Ottawa to obtain the details. The person needs to send us explanation of what may be on their record and confirmation they have applied for the fingerprint based criminal record check with this form.
- 8) Please note that this return is to be filed with the Financial Institutions Commission for new directors, senior officers, subscribers, and any controlling shareholders **prior to taking office, commencing duties, or acquiring ownership**. The bankruptcy and criminal record checks along with a resume do not need to be filed prior to taking office or commencing duties; these documents can be filed with us separately.
- 9) A new return is required to be completed and submitted to the Financial Institutions Commission immediately upon **any** change of information contained on the last filed return. A new criminal record check and/or bankruptcy and insolvency report is **only** required for subsequent changes to information contained in Section C. 5., C. 6. and/or C.7.

Please visit our website at: www.fic.gov.bc.ca