

FORM (ii) (a)

PARTICULARS OF DIRECTOR (S)/ PROPOSED PRINCIPAL OFFICER/ PROPOSED SPECIFIED OFFICER

1. Name of the applicant company:
2. Name of Director/ proposed Principal Officer/ proposed Specified Officer:
3. Date appointed:
4. Residential Address:
(i) Telephone:
(ii) Fax:
5. Business Address:
(i) Telephone:
(ii) Fax:
6. Nationality:
7. National Identity Card No./ Passport No.:
8. Date of Birth:
9. Designation and duties:
10. Annual Remuneration and Fringe Benefits, if applicable:
11. (i) Shareholding in Applicant Company:
(ii) Percentage of Shareholding:
12. (i) Academic Qualifications:
(Attach copies of certificates certified by the company secretary of the applicant company)
(ii) Name of School/College/University:
13. (i) Professional Qualifications:
(Attach copies of certificates certified by the company secretary of the applicant company)
(ii) Name of Professional Body/Class of Membership No.: (state whether admitted by examination or by experience)
14. Work Experience, including work experience in Insurance/Finance/ Business /any other related field:

Name of Company	Position Held	Brief description of the work carried out	Period

(Attach copies of certificates certified by the company secretary of the applicant company)

15. Equity interest in other companies including percentage share, if more than 5%:
16. Equity interest in insurance brokering companies including percentage share:
17. Names and addresses of other firms, companies or statutory bodies in which you are a director, partner, proprietor or employee:
18. Names and addresses of other firms, companies or statutory bodies in which you held directorships previously:

19. Are you an employee of the applicant company:

20. Certification:

I hereby declare and confirm that the information given above is complete, true and correct.

Signature of Director/ proposed Principal Officer/ proposed Specified Officer:

Date:

Name of Company Secretary:

Signature of Company Secretary:

Date:

Note: Separate Forms should be submitted in respect of each Director/ proposed Principal Officer / proposed Specified Officer.

FORM (ii) (b)

AFFIDAVIT

(To be provided by Director(s)/ proposed Principal Officer / proposed Specified Officer of the applicant company)

I,..... (name of Director/ proposed Principal Officer/ proposed Specified Officer) bearing National Identity Card No./Passport No. of, (residential address) in the Democratic Socialist Republic of Sri Lanka (state country of residence) being a (religion) do hereby solemnly, sincerely and truly affirm/swear as follows:

1. that I am the affirmant /deponent above named;
2. that I am a Director/proposed Principal Officer/ proposed Specified Officer of (name of the applicant company);
3. that I possess academic qualifications/professional qualifications/effective experience in insurance/finance/business or (name a relevant discipline in which the Director/proposed Principal Officer/ proposed Specified Officer has effective experience);
4. that I have not served as a member/employee of the Insurance Board of Sri Lanka at any time during the period of three years prior to being appointed/elected/nominated as a Director/proposed Principal Officer/ proposed Specified Officer of the(name of the applicant company);
5. that I have not been convicted by any competent court in Sri Lanka or of any other country, for a crime committed in connection with financial management or of any offence involving moral turpitude;
6. that I have not been declared an undischarged insolvent or a bankrupt under any law of Sri Lanka or of any other country;
7. that I have not failed to satisfy any judgment or order given by any competent court in Sri Lanka or of any other country, pertaining to the repayment of a debt;
8. that I have not been declared by a competent court in Sri Lanka or of any other country, to be of unsound mind;
9. that I have not been removed or suspended by an order of a regulatory or supervisory authority from serving as a director/chief executive officer/any other position of authority in any insurance company/broker/bank/financial institution/corporate body, within or outside Sri Lanka;
10. that I have not been a director/chief executive officer/principal officer/specified officer/not held any other position of authority in any insurance company/broker/bank/financial institution/corporate body—
(i) whose licence or other authority granted for operating as an insurance company/broker/bank/financial institution, has been suspended/cancelled ; or
(ii) which has been wound up/is being wound up/which is being compulsorily liquidated.
within or outside Sri Lanka;
11. that I am not a director/employee of another insurer/
that I am a director/employee of (name of an insurer) where (name of the applicant company) is a subsidiary/associate of(name of the insurer)*;
12. that I am not an employee of (name of the applicant company)/
that I am an employee of(name of the applicant company) and the number of employees in the Board of Directors of(name of the applicant company) does not exceed one-third of the total number of members of the Board of Directors of(name of the applicant company)*;
13. that I am not a shareholder, director or employee of a company registered as an insurance broker under the Regulation of Insurance Industry Act No. 43 of 2000**;
14. that I am not an employee of another insurer in any capacity***; and
15. that I am qualified to hold the position of a Director/proposed Principal Officer/ proposed Specified Officer in terms of section 202 of the Companies Act, No. 07 of 2007/ section 94 of the Regulation of Insurance Industry Act, No. 43 of 2000/ section 32 of the Regulation of Insurance Industry Act No. 43 of 2000 respectively.

The foregoing affidavit having been duly read over and explained to the within named and he/she appearing to understand the contents and effects thereof affirmed to/sworn and placed his/her signature at on thisday of20XX

Before me
.....

Justice of the Peace/ Commissioner for Oaths
Seal

Note: Delete inapplicable words.
Separate Affidavits should be submitted in respect of each Director/proposed Principal Officer/
proposed Specified Officer.

* to be filled by Directors only.

** to be filled by Directors, proposed Principal Officer and proposed Specified Officer only.

*** to be filled by proposed Principal Officer and proposed Specified Officer only.

FORM (ii) (c)

AFFIDAVIT

(To be provided by the Company Secretary)

I,..... (name of Company Secretary) bearing National Identity Card No./Passport No. of, (address) in the Democratic Socialist Republic of Sri Lanka being a (religion) do hereby solemnly, sincerely and truly affirm/swear as follows:

1. that I am the affirmant /deponent above named;
2. that I am the Company Secretary of(name of the applicant company);
3. that I am a registered Company Secretary bearing registration no..... under the Secretaries Regulations issued by the Registrar General of Companies;
4. that to the best of my knowledge (name of Director/ proposed Principal Officer/ proposed Specified Officer) bearing National Identity Card No./Passport No. of, (residential address) is not subject to any one or more of the disqualifications specified in the Second Schedule to the Regulation of Insurance Industry Act, No. 43 of 2000;
5. that to the best of my knowledge (name of Director) is not a director/employee of another insurer/
that to the best of my knowledge (name of Director) is a director/employee of(name of an Insurer) where(name of the applicant company) is a subsidiary/associate of(name of the Insurer);
6. that to the best of my knowledge (name of Director) is not an employee of(name of the applicant company)/
that to the best of my knowledge (name of Director) is an employee of(name of the applicant company) and the number of employees in the Board of Directors of(name of the applicant company) does not exceed one-third of the total number of members of the Board of Directors of(name of the applicant company);
7. that to the best of my knowledge (name of Director/ proposed Principal Officer/ proposed Specified Officer) is not a shareholder, director or employee of a company registered as an insurance broker under the Regulation of Insurance Industry Act No. 43 of 2000; and
8. that to the best of my knowledge (name of the proposed Principal Officer/ proposed Specified Officer) is not an employee of another insurer in any capacity.

The foregoing affidavit having been duly read over and explained to the within named and he/she appearing to understand the contents and effects thereof affirmed to/sworn and placed his/her signature at on thisday of20xx.

Before me

.....
Justice of the Peace/ Commissioner for Oaths
Seal

Note: Delete inapplicable words and amend as appropriate if a company or a partnership.
Separate Affidavits should be submitted in respect of each Director/ proposed Principal Officer/ proposed Specified Officer.

1. tion fee (exclusive of taxes) paid by the applicant will be refunded.