

**NATURAL PERSON SHAREHOLDER
EVALUATION FORM AND EXPLICIT
CONSENT STATEMENT**

This form should be completed by natural persons who wish to become direct or indirect controllers of a bank operating under the Banking Law No. 62/2017.

<p>Bank Title:</p> <p>Name and surname of the natural person shareholder:</p>

Preliminary Information:

1. This form must be duly completed and the bottom part of each page must be signed by the natural person shareholder.
2. The space provided after each question is not indicative of the length of the expected answer. When it is necessary to add more details or documents to the answers, a reference number should be given to the relevant questions and the documents numbered in accordance with the reference numbers should be added to the end as an attachment with a table containing the reference numbers.
3. All questions should be answered duly, if there is no answer to the question, it should not be left blank, and "NO ANSWER" should be written in the space.
4. If false statements and/or misrepresented and/or misleading and/or incomplete information are determined in this form and its annexes and/or tables, without prejudice to the right of criminal investigation to be made, the applicant is deemed not to have the "reputation and competence required by the job..." within the scope of subparagraph (D) of paragraph (1) of Article 6 of the Banking Law, and his/her application is rejected. If this determination is made after the license is granted, the license becomes invalid.
5. Signatures on this form must be authenticated.
6. An authenticated and original power of attorney must be attached to the application, clearly stating the powers given in the operations made by proxy.

CONTACT INFORMATION

Information about the person to be contacted regarding the application:

Name	
Surname	
ID number /Passport number	
Occupation	
Address	
Phone Number (including area code)	
Cell Number (including area code)	
E-mail address	

INDEX

- 1. Application details**
- 2. Natural person shareholder's details**
- 3. Other companies in which the natural person shareholder holds directly or indirectly ten percent (10%) or more control, and the natural person's board memberships**
- 4. Natural person shareholder's fitness and propriety**
- 5. Details of the capital to be invested**
- 6. Sources of references**
- 7. Appendices**
- 8. Declarations**
- 9. Letter of Undertaking**

1 Application details

1.1 Title of the bank:

--

1.2 If you are completing this form as an indirect controller, state the name of the legal entity of which you are a shareholder together with your percentage participation in this legal entity. If more than one, specify them separately.

Name	Share Percentage (%)

1.3 Please specify your direct and/or indirect participation in the bank.

	Number of Shares	Share in Total Capital (%)	Number of Voting Rights*	Share in Total Voting Rights (%)**
Direct Participation				
Indirect Participation				
Total				

*If different from the number of shares

**If different from the share in the total capital.

2 Natural person shareholder' details

2.1 Name

--

2.2 Surname

--

2.3 Have you ever been known by any other name?

No

Yes ▶ Please specify

--

2.4 Have you changed your name and/or surname before?

Previous Name	Previous Surname	Date of Change

2.5 Date of birth

2.6 Place of birth

2.7 ID Number/Passport number

2.8 nationalities Citizenship or citizenships

2.9 Have you ever had any of your citizenships revoked?

- No
 Yes ▶ Please specify

2.10 Current private address

Please provide your current private address. If you live outside TRNC, please give your residential address outside TRNC and tick the box below.

- I live outside TRNC and have no TRNC address.

Address	
City	
Country	

2.11 When did you move to the address you mentioned above?

If you moved to this address less than three years ago, please give previous addresses for the last three years.

Previous address

Address	
City	
Country	

From	
To	

2.12 Please provide information, about your financial position and strength on a separate piece of paper and attach. (Details about your sources of income, assets and liabilities, pledges, and sureties, if any.)

2.13 Provide a description of your current business activities.

--

2.14 Please provide information regarding your Risk Centre inquiry reports and/or other reports and/or credit ratings, if any, and attach these reports.

--

2.15 Please provide a description of any financial and non-financial interests with the following natural and/or legal persons:

- Any other shareholders of the Bank,
- Any member of the board and/or senior managers planned to be appointed.

--

2.16 Have you entered into any oral or written agreement with any other natural or legal persons which will influence the way you exercise your voting rights at the bank?

- No
- Yes ▶ Please specify

--

2.17 Will you actively participate in the management of the bank?

- No
- Yes ▶ Please specify

--

2.18 Please write your contact information.

Mobile phone number (Including area code)	
E-mail address	

3 Other companies in which the natural person shareholder holds directly or indirectly ten percent (10%) or more control, and the natural person's board memberships

3.1 Do you hold any directorships within or outside TRNC?

- No
 Yes ▶ Please specify

Company Name	Sector	Country

3.2 Do you hold directly or indirectly 10% or more control of any other companies within or outside TRNC?

- No
 Yes ▶ Please specify

Company Name	Sector	Country	Control Rate

3.3 Are there any available ratings and/or public reports of any companies under your control or directorships? If yes, please specify.

- No
 Yes ▶ Please specify

--

4 Natural person shareholder's fitness and propriety

4.1 Have you ever been imprisoned for more than one year for violation of any law, even if you have been pardoned and/or your criminal record has been erased in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

--

4.2 Have you ever been found guilty of crimes against the sovereignty, security, and dignity of the government, the constitutional order, premeditated murder, attempted murder, manslaughter, attempted manslaughter, sexual assault, sexual harassment, sexual rape, and attempt to such crimes, embezzlement, conflict, extortion, bribery, theft, fraud, falsum, issuing, signing, approving or giving misrepresented, untrue or illegal documents to obtain benefits, misconduct, fraudulent bankruptcy, smuggling, collusion in official tenders and purchases, tax evasion crimes and/or participation in these crimes under the Criminal Law and other law in TRNC and/or elsewhere , even if you have been pardoned and/or your criminal record has been erased?

- No
 Yes ▶ Please specify

4.3 Have you ever been banned from running a company due to fraud in the TRNC and/or

- No
 Yes ▶ Please specify

abroad?

4.4 Have you ever been tried and convicted for violating the Gambling Law, Narcotics Law, and the Law on the Prevention of Money Laundering or the legislative rules enacted under these Laws in TRNC and/or elsewhere, even if you have been pardoned and/or your criminal record has been erased?

- No
 Yes ▶ Please specify

4.5 Have you ever been tried and convicted for violating the legislation regarding financial institutions* in TRNC and/or elsewhere, even if you have been pardoned and/or your criminal record has been erased?

- No
 Yes ▶ Please specify

* **financial institution:** This means the institutions operating in the financial sector established to carry out at least one of the activities included in paragraph (2) of Article 23 of the Turkish Republic of Northern Cyprus Banking Law.

4.6 Are you the subject of any current investigation, prosecution or a case, in TRNC and/or elsewhere, within the scope of the crimes specified between 4.1 and 4.5 above?

- No
 Yes ▶ Please specify

4.7 Are you the subject of any current investigation, prosecution or case, in TRNC and/or elsewhere, except for the crimes mentioned in 4.1 and 4.5 above?

No

Yes ▶ Please specify

4.8 Do you have any convictions in TRNC and/or elsewhere with a cleared criminal record? If yes, please specify.

No

Yes ▶ Please specify

4.9 Has a personal liability case ever been filed against you in TRNC and/or elsewhere with the allegation that you have damaged the bank and/or caused the weakening and/or liquidation of its financial structure?

No

Yes ▶ Please specify

4.10 Has a recourse case ever been filed against you because you caused an administrative fine to be imposed against the bank in TRNC and/or elsewhere?

No

Yes ▶ Please specify

4.11 Were you a qualified shareholder or did you have control in banks whose management and control have been transferred to the Fund during the transfer period or in financial institutions whose operating license has been revoked during the revocation period in TRNC and/or elsewhere ?

No

Yes ▶ Please specify

4.12 Have you ever declared a pre-arranged bankruptcy or bankruptcy in TRNC and/or elsewhere?

No

Yes ▶ Please specify

4.13 Were the financial institutions in which you are a shareholder, in TRNC and/or elsewhere, ever the subject of liquidation, excluding voluntary liquidation?

No

Yes ▶ Please specify

4.14 Do you have the financial strength, reputation, and competence required for the job?

- No
 Yes ▶ Please specify

4.15 Are you aware of anybody's intention, in TRNC or elsewhere, to file a case against you?

- No
 Yes ▶ Please specify

4.16 Do you have any debts made under a court order still outstanding, in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.17 Have you ever failed to satisfy any debt made under a court order still outstanding, in TRNC and/or elsewhere?

- No
 Yes ▶ If yes, please state the reasons (The relevant court decision was appealed, etc.)

4.18 Have you ever been the subject of any bankruptcy case or any case regarding the seizure of your movable and/or immovable properties in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.19 Have you ever made a debt restructuring agreement (court order, protocol, restructuring, pre-arranged bankruptcy, etc.) with your creditors in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.20 Do you or any company in which you work in the senior management have any outstanding legal financial obligations, in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.21 Have you or any company in which you work in the senior management ever been found guilty of any unauthorized and/or unlicensed activity, in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.22 Are you the subject of any current investigation against you or any company in which you work in the senior management, for any unauthorized and/or unlicensed activity, in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.23 Have you ever been the subject of any investigation for allegations of misconduct or criminal behaviour or corruption or unlawful behaviour in connection with any commercial activity/business in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.24 Have you ever been denied any paid or unpaid job, duty or employment, or appointment to any trustee or foundation position, and/or have you been laid off and/or have you been asked to resign in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.25 Have you been denied and/or restricted and/or suspended from your right to pursue any other trade, business, or profession for which a particular license, authorization, registration, membership, or permit is required, in TRNC and/or elsewhere?

- No
 Yes ▶ Please specify

4.26 Have you been banned by the court from acting as a board member or senior manager of a company, or working as a manager, or managing the affairs of any company, partnership or organization, in TRNC and/or elsewhere ?

- No
 Yes ▶ Please specify

4.27 Do you have any personal or business interests, obligations under the employment contract, or any other interests that may conflict with your shareholder position in the bank?

- No
 Yes ▶ Please specify

4.28 Has an assessment of reputation and suitability already been conducted, as a qualified shareholder or board member of a financial institution, by a financial regulatory authority?

- No
 Yes ▶ Please specify

4.29 Has an assessment of reputation and suitability already been conducted by another regulatory authority from a non-financial sector?

- No
 Yes ▶ Please specify

4.30 Have you ever been included in the lists on money laundering and terrorism financing, published by a financial information unit or any equivalent international authority of the country you reside in?

- No
 Yes ▶ Please specify

Activities regulated by the Central Bank or another regulatory body

4.31 In TRNC and/or elsewhere ,

4.31.1 Has any license, authorization, registration, notice, membership, or any other permit of the company, partnership, or organization that you control or of which you are a board member, senior manager, shareholder, or secretary for as long as your relationship continues or for three years after it ends, granted by any competent regulatory or government agency been denied and/or revoked and/or restricted and/or terminated?

- No
 Yes ▶ Please specify

4.31.2 Has there been a warning and/or reprimand and/or disciplinary action and/or suspension of license and/or expulsion and/or fine and/or any other disciplinary or intervention action by any competent regulatory authority against the company, partnership, or organization that you control or of which you are a board member, senior manager, shareholder, or secretary for as long as your relationship continues or for three years after it ends?

- No
 Yes ▶ Please specify

4.31.3 Have you or the company, partnership, or organization that you control or of which you are a board member, senior manager, shareholder, or secretary for as long as your relationship continues or for three years after it ends applied to any regulatory authority for any of the following and then decide not to continue with the application?

- License
- Authority
- Registration
- Notification
- Membership
- Other permission

- No
 Yes ▶ Please specify

4.32 In TRNC and/or elsewhere ,

4.32.1 Has your signing authority in the company, partnership, or organization that you control or of which you are a board member, senior manager, shareholder or secretary has been revoked by the Central Bank or other competent regulatory authority?

- No
 Yes ▶ Please specify

4.32.2 Have you resigned from your position in the company, partnership, or organization of which you are a board member, senior manager, or secretary while any regulatory authority's investigation is pending?

- No
 Yes ▶ Please specify

Your participation in other organizations

4.33 Has any company, partnership, or organization that you control or of which you are or were a board member, senior manager, shareholder, or secretary, in TRNC and/or elsewhere, at any time during your involvement or within three years of your involvement been,

4.33.1 put into liquidation, wound up, ceased trading, had a receiver or administrator appointed, or entered into any voluntary arrangement (pre-arranged bankruptcy, court order, protocol, restructuring, etc.) with its creditors?

- No
 Yes ▶ Please specify

4.33.2 adjudged by a court as liable for any fraud, falsum, wrongdoing, unfair competition or misconduct?

- No
 Yes ▶ Please specify

4.33.3 investigated by an inspector appointed or been involved in an investigation under the Companies Law or any other legislation?

- No
 Yes ▶ Please specify

4.33.4 convicted of any criminal offense, reprimanded, disciplined or warned under any investigation by any public agency or legal authority?

- No
 Yes ▶ Please specify

4.34 If you answered yes to any of the questions from 4.1 to 4.33, you must provide the details as an "Annex" on a separate page. The information that should be in the "Annex" format is as follows;

- The question number to which the information is linked,
- Authenticated copies of supporting documents.

5 Details of the Capital to Be Invested

5.1 Please provide full details of the amount of capital to be invested and how it will be financed, proving the source of the funds.

Amount	Source of Finance

5.2 Is there any involvement from/with other parties in the amount of capital to be invested?

No

Yes ▶ Please specify

5.3 Provide details of any current or contemplated agreements with other shareholders, if any. If there is a written agreement, please attach it.

No

Yes ▶ Please specify

5.4 Do you or will you have any other benefits from the bank, other than dividends, resulting from your role as the founder or qualified shareholder of the bank?

No

Yes ▶ Please specify

5.5 Do you have the ability and willingness to support the bank with additional own funds in case of future capital increase requirements and/or financial difficulties?

No

Yes ▶ Please specify

6 Sources of references

Please specify two references that the Central Bank can apply directly to obtain information about you, while your application is being evaluated. All details of your references should be provided (Name, surname, ID number or passport number, relationship/link to you, job, phone number, current address, and e-mail).

7 Appendices

The attached documents must be up-to-date. Any additional documents must be authenticated and attached.

Documents to be Attached to the Natural Person Evaluation Form:

Table	Relevant Questions	Document Description	Attached or NOT AVAILABLE	This Part Will Be Filled by the Central Bank
1.	Preliminary Information	The authenticated and original power of attorney, if any		
2.	2.7	Authentic ID or passport document		
3.	2.10	Original residence certificate		
4.	2.12&2.14	Documents regarding the financial situation, including the inquiry report to be obtained from the Risk Centre		
5.	2.16&5.3	An authenticated copy of the written agreements, if any		
6.	3.3	Ratings and/or public reports of companies, if any		
7.	4.34	If you answered yes to any of the questions 4.1 to 4.33, documentation supporting the details		
8.	5.1	<u>Documents supporting the information on the amount of capital</u>		
9.	6	References		

8. Declarations

I, the undersigned.....(Full Name, Surname),
Having full knowledge of the Banking Law No. 62/2017 and other relevant laws and regulations enacted under these Laws;

1- I declare and undertake that,

a) I am aware of my responsibilities regarding my application and I am obliged to comply with the relevant legal legislations and regulations constantly,

b) All the information and/or documents I have provided in the form and/or other supporting documents accompanying my application are true, correct, complete and factual,

c) In the period between the submission of my application and the decision of the Central Bank, if there is a change in all the information and/or documents submitted with the application and/or other supporting documents accompanying my application, I will inform the Central Bank in writing within one week,

d) Providing false and/or misleading and/or deceptive information and/or documents to the Central Bank will result in the rejection of my application or the obtained license may become invalid,

d) The Central Bank may conduct further investigations and inquiries about me as it deems appropriate to verify the information and/or documents provided in this form,

e) While performing its duties, the Central Bank may share current and future data and information about me with third parties.

2- I irrevocably authorize the Central Bank to conduct any kind of research within the relevant institutions and/or third parties to confirm all the information and documents given with this application.

Name Surname:

ID/passport number:

Signature:

Date:

**Declaration Stating That the Shareholder Does Not Have Any
Nonperforming Loans and/or the Shareholder is Not a Dishonoured
Cheque Issuer**

As explained in Article (5) of the *"Notification on the Qualifications of Banks' Loans and Other Receivables and Provisions"* issued under the Banks Law No. 39/2001, I declare that I and/or the companies I manage and/or companies of which I am a shareholder in TRNC and/or elsewhere, have no risk classified as non-performing loans and/or are not a dishonoured cheque issuer. I declare and undertake that at any time, I accept the research to be carried out by you on whether I and/or the companies I manage and/or companies of which I am a shareholder in TRNC and/or elsewhere have non-performing loans and/or whether they are dishonoured cheque issuers.

If issues proving the opposite of my above statement arise, I accept in advance all the sanctions and penalties that may be imposed on me in accordance with Banking Law No. 62/2017 and other laws and regulations.

Natural Person:

Name:
Surname:
ID No.

SIGNATURE:

Date:/...../.....

9. Letter of Undertaking

TO THE CENTRAL BANK OF THE TRNC

Natural Person:

Name:

Surname:

ID No.

SIGNATURE:

Date:/...../.....