

NATURAL PERSON SHAREHOLDER EVALUATION FORM AND EXPLICIT CONSENT STATEMENT

Bank Title:

Name and Surname of the Natural Person Shareholder:.....

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. If 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 applicable to the case of the applicant should be duly completed or, if not applicable, state "N/A."
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 permission is granted, the permit 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

If the person contacted to obtain information about the application and/or missing documents is different from the applicant, the contact information of this person:

Name	
------	--

Surname	
---------	--

ID /passport Number	
---------------------	--

Occupation	
------------	--

Address	
---------	--

Phone Number (including area code)	
---------------------------------------	--

Mobile Phone Number (Including area code)	
---	--

Fax Number (Including area code) (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 has direct or indirect control of 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. Annexes**
- 8. Explicit consent statement**
- 9. Declarations**
- 10. Letter of Undertaking**

1. Application Details

1.1 Title of the bank:

--

1.2 If you are completing this form as an indirect controller, please state the name of the legal entity of which you are a shareholder, along with your percentage participation in that entity. If you hold shares in multiple entities, please 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 Shareholding				
Indirect Shareholding				
Total				

*If different from the number of shares

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

2. Natural Person Shareholder's Details

2.1 Name

--

2.2 Surname

--

2.3 Have you previously been referred to or identified by a name other than your current name?

☐

No

☐

Yes ▶ Please specify

--

2.4 Have you undergone a name or surname change in the past, specifically related to marriage or divorce? If so, please provide the relevant date(s) when the change(s) were made.

Previous Name	Previous Surname	Date of Change

2.5 Please provide your relevant contact information.

Mobile Phone Number (Including area code)	
E-mail address	

2.6 Date of birth

2.7 Place of birth

2.8 ID /passport number

2.9 ID /passport numbers of all citizenships

2.10 Have any of your citizenships ever been revoked?

☐

No

☐

Yes ► Please specify

2.11 Current residential address

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

☐

I live outside the TRNC and have no address within the TRNC.

Address	
City	
Country	

2.12 When did you relocate to the address you mentioned above?

--

If you have relocated to this address less than three years ago, please provide your previous addresses for the last three years.

Previous address

Address	
City	
Country	

From	
To	

2.13 Please provide information about your financial position and power on a separate page and attach it. (Details about your sources of income, assets and liabilities, pledges, and sureties, if applicable.)

2.14 Describe your current business activities.

--

2.15 Please provide details on any existing Risk Centre inquiry reports and/or other reports and/or credit ratings, if available, and attach these reports as necessary.

--

2.16 Please describe any financial and non-financial interests you may have with the following natural and/or legal persons:

- Other shareholders, whether they are current shareholders or applicants seeking to become shareholders.
 - Members of the board of directors and/or senior executives, whether they are existing board members or executives, or planned appointees.

--

2.17 Have you entered into any verbal or written agreements with any other natural or legal persons that could potentially impact the manner in which you exercise your voting rights at the bank?

☐

No

☐

Yes ▶ Please specify

--

2.18 Do you intend to actively participate in the management of the bank?

☐

No

☐

Yes ▶ Please specify

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 currently hold any board memberships within or outside of the TRNC?

☐

No

☐

Yes ▶ Please specify

Company Name	Sector	Country

3.2 Do you have direct or indirect control of 10% or more of any other companies within or outside of the TRNC?

☐

No

☐

Yes ▶ Please specify

Company Name	Sector	Country	Control Rate

3.3 Are there any publicly available ratings or reports on any companies under your control or directorships? If so, please provide further details.

☐

No

☐

Yes ▶ Please specify

4. Natural person shareholder's fitness and propriety

4.1 Have you ever been imprisoned for a period exceeding one year due to the violation of any laws, even if you have received a pardon or your criminal record has been expunged in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.2 Have you ever been found guilty of crimes related to sovereignty, security, and dignity of the government, constitutional order, premeditated murder, attempted murder, manslaughter, attempted manslaughter, sexual assault, sexual harassment, rape, attempted rape, embezzlement, conflict, extortion, bribery, theft, fraud, forgery, issuance, signing, approval, or provision of misrepresented, untrue, or illegal documents for the purpose of obtaining benefits, misconduct, fraudulent bankruptcy, smuggling, collusion in official tenders and purchases, tax evasion, and/or participation in any such crimes as defined by the Criminal Law or other laws in the TRNC and/or elsewhere, even if you have received a pardon or your criminal record has been expunged?

☐

No

☐

Yes ▶ Please specify

4.3 Have you ever been prohibited from managing a company due to fraud in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.4 Have you ever been tried and convicted under the Gambling Law, Narcotics Law, Law on the Prevention of Money Laundering, Law on Leasing, Factoring and Financing Companies, Prevention of Usury, or any legislative rules established under these laws, in the TRNC and/or elsewhere, even if you have received a pardon or your criminal record has been expunged?

☐

No

☐

Yes ▶ Please specify

4.5 Have you ever been convicted for violating legislation pertaining to financial institutions in the TRNC and/or elsewhere, even if you have received a pardon or your criminal record has been expunged?

☐

No

☐

Yes ▶ Please specify

*** financial institution:** 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 Banking Law of the Turkish Republic of Northern Cyprus.

4.6 Are you currently under investigation, prosecution, or involved in a case in the TRNC and/or elsewhere, related to the crimes specified in sections 4.1 to 4.5 above?

☐

No

☐

Yes ▶ Please specify

4.7 Are you currently under investigation, prosecution, or involved in any case in the TRNC and/or elsewhere, except for the crimes specified in sections 4.1 and 4.5 above?

☐

No

☐

Yes ▶ Please specify

4.8 Do you have any prior convictions in the TRNC and/or elsewhere, but with a cleared criminal record?

☐

No

☐

Yes ▶ Please specify

4.9 Have you ever been the subject of a personal liability case in the TRNC and/or elsewhere, with allegations that you caused damage to a bank and/or weakened or caused its liquidation by affecting its financial structure?

☐

No

☐

Yes ▶ Please specify

4.10 Have you ever been the subject of a recourse case in the TRNC and/or elsewhere, with allegations that you caused an administrative fine to be imposed against a bank?

☐

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 the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

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

☐

No

☐

Yes ▶ Please specify

4.13 Have any financial institutions in which you are a shareholder, in the TRNC and/or elsewhere, ever been subject to liquidation, except for voluntary liquidation?

☐

No

☐

Yes ▶ Please specify

4.14 Do you possess the financial strength, reputation, and competence necessary to perform the job?

☐

No

☐

Yes ▶ Please specify

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

☐☐

No

Yes ▶ Please specify

4.16 Do you have any outstanding debts incurred through a court order, in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

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

☐

No

☐

Yes ▶ If yes, please state the reasons (Such as an appeal of the relevant court decision, etc.)

☐☐

No

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

Yes ▶ Please specify

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

☐

No

☐

Yes ▶ Please specify

4.20 Do you, or any company where you hold a senior management position, have any outstanding legal or financial obligations, in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.21 Have you or any company where you hold a senior management position ever been convicted of any unauthorized and/or unlicensed activity, in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.22 Are you or any company where you hold a senior management position currently under investigation for any unauthorized and/or unlicensed activity, in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.23 Have you ever been investigated for allegations of misconduct, criminal behaviour, corruption, or unlawful behaviour in connection with any commercial activity or business, in the 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 the 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 the 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, working as a manager, or managing the affairs of any company, partnership, or organization, in the TRNC and/or elsewhere?

☐

No

☐

Yes ▶ Please specify

4.27 Do you have any personal or business interests, obligations under the labour 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 the 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 the 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

4.32.3 Have you been a party to any trustee agreement?

- ☐ No
☐ Yes ▶ Please specify

4.33 In the TRNC and/or elsewhere,

4.33.1 During the period of your involvement or within three years after its termination, has any company, partnership, or organisation over which you have control or of which you are a board member, senior manager, shareholder, or secretary been liquidated, closed down, ceased to operate, had a receiver or administrator appointed, or entered into any voluntary agreement with creditors (pre-arranged bankruptcy, court order, protocol, restructuring, etc.)?

- ☐ No
☐ Yes ▶ Please specify

4.33.2 Have you or any company, partnership, or organisation that you control or of which you are a board member, senior manager, shareholder, or secretary been found guilty or liable by a court of law of any fraud, falsum, wrongdoing, unfair competition or misconduct during or within three years after the termination of your involvement?

- ☐ No
☐ Yes ▶ Please specify

4.33.3 Have you or any company, partnership, or organisation in which you have control or of which you are a board member, senior manager, shareholder, or secretary been subject to or been the subject of an investigation by an inspector appointed under the Companies Law or any other legislation during the period of your involvement or within three years of its termination?

☐

No

☐

Yes ▶ Please specify

--

4.33.4 Have you or any company, partnership, or organisation in which you have control or of which you are a board member, senior manager, shareholder, or secretary, been convicted of any criminal offence, reprimanded, disciplined, or given a warning as part of any investigation by any public agency or legal authority during or within three years after the termination of your involvement?

☐

No

☐

Yes ▶ Please specify

--

4.33.5 Have you or any company, partnership, or organisation which you control or of which you are a board member, senior manager, shareholder, or secretary, been subject to any administrative sanction due to decisions and transactions contrary to the decisions of the Central Bank or contrary to banking principles and practices or international banking practices during the period of your involvement or within three years after its termination?

☐

No

☐

Yes ▶ Please specify

--

4.34 If you answered "yes" to any of the questions from 4.1 to 4.33, please provide the details as an "Annex" on a separate page. The information that should be included 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, including proof of the source of the funds.

Amount	Source of Finance

5.2 Do other parties contribute to the amount of capital to be invested?

☐

No

☐

Yes ▶ Please specify

5.3 Please provide details of any existing or planned agreements with other shareholders, if applicable. 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 capital in case of future capital increase requirements and/or financial difficulties?

☐

No

☐

Yes ▶ Please specify

6. 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. Attached documents

The documents to be provided must be dated and up-to-date. Additionally, if the documents to be provided, other than those specifically stated to be original below, are not original, they must be appropriately authenticated before being submitted.

Documents to be Attached to the Natural Person Evaluation Form:

Table	Relevant Questions	Document Description	Attached or N/A	To be filled out 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.	2.8	Original residence certificate		
4.	2.11&2.13	Documents on the financial situation, including the inquiry report to be obtained from the Risk Centre		
5.	2.18&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 questions 4.1 to 4.33, documentation supporting the details		
8.	5.1	Documents supporting the information on the amount of capital		
9.	6	References		

8. Explicit Consent Statement

TO THE CENTRAL BANK OF THE TRNC

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

I declare and undertake that I am aware of my responsibilities regarding my application
and I am obliged to comply with the relevant legal legislations and regulations
constantly.

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.

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 five working days.

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.

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.

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

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:

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

TO THE CENTRAL BANK OF THE TRNC

As explained in Article (5) of the "Notification on the Qualifications of Banks' Loans and Other Receivables and Provisions", I declare that I and/or the companies I manage and/or companies of which I am a shareholder in the 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 to verify whether I and/or the companies I manage and/or companies of which I am a shareholder in the TRNC and/or elsewhere have any non-performing loans and/or are dishonoured cheque issuers.

I acknowledge that if evidence is presented that contradicts the statement I made above, I understand that I may be subject to sanctions and penalties as stipulated by Banking Law No. 62/2017 and other relevant laws and regulations.

Natural Person:

Name:

Surname:

ID/Passport number:

SIGNATURE:

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

10. Letter of Undertaking

TO THE CENTRAL BANK OF THE TRNC

I hereby declare that the amounts intended to be paid to the Central Bank for the establishment/acquisition of shares/capital increase of the bank, which I have applied to the Central Bank for the establishment/acquisition of shares/capital increase under the Banking Law No. 62/2017, are obtained from my own commercial, industrial and other legal activities in a manner that does not contradict the rules of the legislation on the prevention of money laundering, and I also undertake that the payment will be made in cash, free of any collusion.

Natural Person:

Name:

Surname:

ID/Passport number:

SIGNATURE:

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