



PROVIDENT INSTITUTIONS DIVISION

PENSION FUNDS DEPARTMENT

NOTIFICATION OF THE APPOINTMENT OF THE PRINCIPAL OFFICER

NOTIFICATION OF APPOINTMENT OF A PRINCIPAL OFFICER**Section A. General Information****1) Fund**

- Full name of Fund:
- Physical Address:
- Postal Address:
- Telephone Number:
- Facsimile:
- Website, if any
- E-mail address:

2) Principal Officer

- Full name:
- Identification No:
- Nationality:
(If not Namibian, provide proof of Namibian resident permit)
- Postal Address:
- Telephone No:
- E-mail address:
- Professional qualifications:
(Attach certified copies of qualifications and curriculum vitae)

Section B. Fit and Proper Questionnaire
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Kindly complete the questionnaire in full and if the answer to any of the questions is yes, please provide full details and attach to the questionnaire.

	YES	NO
(a) Have you ever been found guilty by any professional or financial services industry body (in Namibia or elsewhere), of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
(b) Have you ever been denied membership of any professional body referred to in 2 on account of an act of dishonesty negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
(c) Have you ever been found guilty by any regulatory or supervisory body (in Namibia or elsewhere) or has an authorization to carry on business been refused, suspended or withdrawn by any such body on account of an act of dishonesty, negligence, incompetence or mismanagement?	<input type="checkbox"/>	<input type="checkbox"/>
(d) Have you ever been disqualified or prohibited by any court of law (whether in Namibia or elsewhere) from taking part in the management of any company or other statutorily created, recognized or regulated body, irrespective whether such disqualification has since been lifted or not?	<input type="checkbox"/>	<input type="checkbox"/>
(e) Have you been involved with a corporation, which has been censured, disciplined, suspended or refused membership or registration by a stock exchange, futures exchange, other market or regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
(f) Have you had any judgment (including a finding of fraud, misrepresentation or dishonesty) given against you in any civil proceedings, in Namibia or elsewhere or are there any proceedings now pending which may lead to such a judgment?	<input type="checkbox"/>	<input type="checkbox"/>
(g) Have you ever been a controlling shareholder, director of a company or member of a close corporation at the time it was placed under judicial management or in provisional or final liquidation?	<input type="checkbox"/>	<input type="checkbox"/>
(h) Have you ever been the subject of any investigation or disciplinary proceedings by any regulatory authority (whether in Namibia or elsewhere) or exchange, professional body or government body or agency for which you have been found guilty?	<input type="checkbox"/>	<input type="checkbox"/>
(i) Have you ever been declared insolvent?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
(j) If the answer to 11 is "Yes" have you since been rehabilitated?	<input type="checkbox"/>	<input type="checkbox"/>
(k) Have you ever been a principal officer, member, director or CEO of any business or company which has failed, where that failure has been occasioned entirely or in part by deficiencies in competence, diligence, honesty, integrity, fairness or ethical behavior in the management of the business or company?	<input type="checkbox"/>	<input type="checkbox"/>

Section C. Disclosure of Interest
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Note: The disclosure of interest report must be completed by the Principal Officer at the time of notifying the Registrar of the appointment.

If the answer to any of the questions is yes, please provide full details and attach to the application form:

	YES	NO
1. Are you a director, member, shareholder, employee or other official of any organization? [If Yes , provide the names of the organization(s)]	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you hold any shares or have any financial interest in:		
(a) a brokerage;	<input type="checkbox"/>	<input type="checkbox"/>
(b) an administrator of pension fund;	<input type="checkbox"/>	<input type="checkbox"/>
(c) an asset manager;	<input type="checkbox"/>	<input type="checkbox"/>
(d) any other organization or entity that provides services to pension funds; and	<input type="checkbox"/>	<input type="checkbox"/>
(e) a life assurance office, a short term insurer or re-insurer.	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you have any additional information, which should be brought to the Registrar's attention, which may have an impact on the evaluation of your application to be accredited?	<input type="checkbox"/>	<input type="checkbox"/>

If you answered yes to any of the above questions, please provide details.

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Section D. Declarations

Applicant's declaration:

We, the undersigned, in our capacities as trustees/committee of management of the

(Name of Retirement Fund)

(a) **Declare** that all the information provided in this notification (including attachments) is complete, true and correct and not misleading in any respect can be relied upon.

(b) **Understand** that if any information in this notification changes before and/or after this notification is acknowledged, we must notify NAMFISA in writing immediately of the changes.

(To be signed by one employer representative trustee, one employee representative trustee and the Chairperson of the Board of Trustees).

.....
Full name
(Chairperson)

.....
Signature

.....
Date

.....
Full name

.....
Signature

.....
Date

(Employer/Sponsor Representative Trustee)

.....
Full name

.....
Signature

.....
Date

(Employee/Independent Representative Trustee)

Section E. Affidavits

1. Affidavit by the newly appointed Principal Officer

I, the undersigned
 (Full name of Principal Officer)

Identity / Passport number hereby declare and confirm under oath /
 or affirm that I -

- (a) am a Namibian citizen and I am resident in Namibia;
- (b) am not a minor or a person under legal disability;
- (c) am not subject to any order issued under or deemed to have been issued under the Companies Act, 2004 (Act No. 28 of 2004), as amended, disqualifying me from being a director of or being in any way concerned or taking part in the management of any company, whether directly or indirectly;
- (d) am not an un-rehabilitated insolvent;
- (e) have not been removed from an office of trust on account of misconduct;
- (f) have not been convicted, whether in Namibia or elsewhere, of theft; fraud; forgery or uttering a forged document; perjury; an offence under any law for the prevention of corruption; or any offence involving dishonesty or in connection with the promotion; formation or management of a company and sentenced to imprisonment without the option of a fine or to a fine to the equivalent of or exceeding N\$1 000.00 (One Thousand Namibia dollar); and
- (g) have been candid and truthful in all my dealings with any regulatory body and I am ready and willing to comply with the requirements and standards of the regulatory system and with other legal, regulatory and professional requirements and standards.

I undertake to inform NAMFISA forthwith should any of the statements made in this affidavit no longer be true and correct.

.....
Principal Officer Signature

.....
Date

2. Affidavit by the Commissioner of Oaths

I hereby certify that the deponent has acknowledged that he/she knows and understands the contents of this affidavit, which was signed and sworn to or affirmed before me aton the.....day of....., the regulations contained in Government Notice No R1268 of 21 July 1972, as amended, and Government Notice No R1648 of 19 August 1977, as amended, having been complied with, that he/she has no objection to taking the prescribed oath, and that he/she regards same as binding on his/her conscience and declared as follows:

“I swear that the contents of this declaration are true, so help me God”

Commissioner of Oaths

.....
Signature & particulars

.....
Date and Stamp

Section F. Attachments

Please attach the following documents to the application

Kindly confirm the attachment of documents by marking the appropriate box with an "X"

		Attached	Comment
(a)	A fully completed and signed fit and proper questionnaire form;		
(b)	A resolution of the Board of Trustees appointing the Principal Officer;		
(c)	Certified copy of Identify Document of the Principal Officer and if not Namibian, provide proof of permanent residence;		
(d)	Certified copies of qualifications;		
(e)	Proof of application for a Police Clearance Certificate and if the applicant was convicted of an offence, provide details of the offence that he/she is convicted of (Police Clearance should be submitted to NAMFISA within 9 months of application); and		
(f)	A copy of the Principal Officer's resume.		
(g)	Any other document that the Registrar deems necessary		

Note: NAMFISA may call upon the applicant to furnish further information relevant to the application. NAMFISA is not obliged to consider incomplete applications.