



**Da Afghanistan Bank
Financial Supervision Department**

**BIOGRAPHICAL AND FINANCIAL REPORT
FOR BANK ADMINISTRATORS**

GENERAL INFORMATION AND INSTRUCTIONS

This *Biographical and Financial Report for Bank Administrators* (report) is used by individuals as a part of an application to the Licensing Department of Da Afghanistan Bank (DAB.)

Preparation:

Use of this form is not mandatory. Alternative formats, if used, however, must provide all requested information, including the certification of correctness. All questions must be answered with complete and accurate information that is subject to verification. If the answer is "none," "not applicable," or "unknown," so state. Answers of "unknown" should be explained.

The questions are not intended to limit the presentation nor are the questions intended to duplicate information supplied on another form or in an exhibit. For such information, a cross reference to the information is acceptable. If this report is used, questions should be answered in the space provided. Use additional sheets as necessary. If the report is not complete, DAB may either request additional information or return the filing.

Financial statements from individuals must be submitted as of a date not more than 90 days prior to the date the financial report is submitted. All amounts in this report must be based on current market value in local currency, rounded to the nearest thousand, and agree with any totals in the supplementary schedules. In addition to the sample financial schedule, filer may wish to provide supplementary schedules for other items on the financial statement. An answer is required to each item. DAB specifically reserves the right to require additional information and/or statements.

If a filer has been convicted of any criminal offense involving dishonesty, breach of trust, the filer must obtain approval from DAB before being employed by a depository institution.

Each filer must report promptly any material change in the biographical report and/or financial condition that occurs during the review period for this filing.

Confidentiality:

Any Applicant desiring confidential treatment of specific portions of the application must submit a request in writing. The request must discuss the justification for the requested treatment. Information for which confidential treatment is requested should be (1) specifically identified in the public portion of the application (by reference to the confidential section); (2) separately bound; and (3) labeled "Confidential." The Applicant should follow the same procedure regarding a request for confidential treatment with regard to the subsequent filing of supplemental information to the application.

DAB will determine whether the information submitted as confidential will be treated as confidential.

**BIOGRAPHICAL AND FINANCIAL REPORT
FOR BANK ADMINISTRATORS**

This is filed with respect to:

Name of Institution or Proposed Institution, Location

Position

- Organizer
- Director
- Senior Executive Officer
- Other _____

BIOGRAPHICAL REPORT

1. Personal Information

(a) Name _____
(Family name) (Given name)

(b) Residence _____
(Street Address)

(City) (State) (Zip Code)

(c) If at residence less than five years, list addresses and dates occupied for past five years.

Date From Date To Full Address (including country)

(d) Date of birth _____
(Month) (Day) (Year)

(e) Place of birth _____
(City or village) (State or province) (Country)

(f) Identity number _____

(g) Citizenship _____
(Country) (Date, if Naturalized)

(h) If not an Afghan citizen, Passport No. _____
Home Country ID No. _____
Father's name: _____
Mother's maiden name: _____
Immigration File No. _____

(i) Telephone and fax numbers where you may be reached during business hours (include country codes):

(j) Trade names and/or other names used in place of given name and period of and reason for use.

<u>Name</u>	<u>Period of Use</u>	<u>Reason for Use</u>
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2. Employment Record

(a) List employment in reverse chronological order for the last five years.

<u>Date From</u>	<u>Date To</u>	<u>Name/Location Nature of Business</u>	<u>Position Held/ Nature of Duties</u>	<u>Reason for Leaving</u>
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(b) Have you ever been dismissed or asked to resign from any past employment? Yes No
If "yes," complete the following:

<u>Employer's Name/ Address/Telephone</u>	<u>Position</u>	<u>Date of Discharge</u>	<u>Explanation</u>
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3. Education and Professional Credentials

List each (a) diploma/degree from high schools, colleges, universities, or other schools, and (b) professional license or similar certificate you now hold or have held (for example, Attorney, Physician, Accountant).

(a) <u>School's Name/Location</u>	<u>From</u>	<u>To</u>	<u>Degree</u>
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(b) <u>License</u>	<u>Issuing Authority</u>	<u>Date Issued</u>	<u>Expiration</u>
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4. Business and Banking Affiliations

(a) List any businesses with which you are associated.

<u>Business Name/ Location</u>	<u>Nature of Business</u>	<u>Position/ Relationship</u>	<u>Percent Ownership</u>	<u>From</u>
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(b) List any financial institutions with which you are or have been associated as an officer, director, partner, trustee, or owner (10% ownership or more of any class of stock).

<u>Financial Institution/ Location</u>	<u>Nature of Business</u>	<u>Position/ Relationship</u>	<u>Percent Ownership</u>	<u>From</u>	<u>To</u>
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(c) Are you in the process of being considered for a senior executive officer or board position by any other enterprise?

Yes No

If "yes," provide the name and address of the other enterprise.

5. Legal and Related Matters

(If "yes" is answered to any item in (a) - (e) below, describe the situation in detail, including the name and location of the institution, business, or parties involved, the date(s), nature of the charge/association/proceeding, name and address of court involved, and the disposition.)

(a) Have you ever been the subject, in your individual or business capacity, of a prior or current application or notice that was filed and subsequently denied, withdrawn, or otherwise failed to obtain favorable action, or other regulatory matter and/or administrative action pertaining to any financial institution? Yes No

(b) Have you been associated as a senior executive officer, director, or principal shareholder (owning 10% or more of the outstanding stock) with any financial institution that has been subject to any enforcement action or have you been personally subject to a prohibition or removal order, or other enforcement action? Yes No

(c) Have you ever been involved, or are you currently involved, in any lawsuit, formal or informal investigation, examination, or administrative proceeding (excluding routine or customary audits, inspections, and investigations) issued against, entered into by, or involving you or a company with which you are or were associated that may result in or resulted in any sanction, fine, monetary damage, loss of right or benefit, revocation of license, agreements, undertakings, consents or orders with any court, any department, agency, or commission of the Afghan government or any foreign government entity? Yes No

(d) Have you or any business or enterprise with which you have been associated as an officer, including a senior executive officer, board member, or principal shareholder of 10% or more of outstanding stock, filed for bankruptcy or forfeited property? Yes No

(e) Have you ever defaulted on a personal loan, loan to your company, or loan in which you were a guarantor? If "yes," provide complete details, including direct and indirect debt terms, defaulted amount, and lender.

Yes No

(f) Have you or any business or enterprise with which you are or were associated as an officer, including a senior executive officer, board member or principal shareholder (owning 10% or more of the outstanding stock), been the subject of any law enforcement agency's charge, arrest, indictment, or conviction? Yes No

If "yes," complete the following:

<u>Name/Type of Business</u>	<u>Relationship/ Stock Owned</u>	<u>Nature of Charge/Proceeding</u>	<u>Date of Charge</u>	<u>Jurisdiction Location</u>	<u>Disposition</u>	<u>Date</u>
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6. Additional Information

Present any other information you believe is important to evaluate your filing. If you are involved in the organization of a new institution, discuss your specific role.

FINANCIAL REPORT

FINANCIAL STATEMENT AS OF _____

(in thousands)

Assets	Amount	Liabilities and Net Worth	Amount
1. Cash on hand and in financial institutions		8. Accounts payable	
2. Marketable securities (Schedule A)		9. Notes payable and other loans (Schedule F)	
3. Other securities		10. Real estate mortgages (Schedule C)	
4. Notes receivable (Schedule B)		11. Other liabilities (Schedule G)	
5. Real estate (Schedule C)		TOTAL LIABILITIES	
6. Proprietary interests (Schedule D)		12. Net worth (Total assets less total liabilities)	
7. Other assets (Schedule E)			
TOTAL ASSETS		TOTAL LIABILITIES AND NET WORTH	

CERTIFICATION*

I understand that DBA may conduct extensive checks into my background, experience, and related matters in conjunction with my application or filing. I certify that the information contained in the biographical report and/or financial report has been carefully examined by me and is true, correct, and complete. I acknowledge that any misrepresentation or omission of a material fact, with respect to the foregoing, constitutes fraud and may subject me to legal sanctions.

Signed this _____ day of _____, _____.

Signature*

Print or type name

Title (if applicable)

* If a joint financial statement is being submitted, both parties should complete the "Certification."