



Mutual Funds Association of Pakistan
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FIT AND PROPER ASSESSMENT QUESTIONNAIRE
TO BE SUBMITTED BY INDIVIDUAL DISTRIBUTORS AND CEO/HEAD OF DISTRIBUTION OF INSTITUTIONAL DISTRIBUTORS

BASIC DETAILS

- 1 NAME _____
- 2 Name of Institutional Distributor (only for Institutions) _____
- 3 MUFAP Registration Number: _____
(For annual renewals of Individuals & corporate employee/s who should provide company's registration number) (first time applicants kindly mention that)

Please answer the following questions by entering a tick () in the appropriate box. If answer of any of these questions in YES please provide details by using a separate sheet with proper reference to the question.

4 HONESTY, INTEGRITY AND REPUTATION

- A. Have you ever been convicted of any criminal offence, particularly offences of dishonesty, fraud/forgery, financial crime, embezzlement, money laundering, or other offences under legislation relating to banking, NBFCs and financial services? Yes NO
- B. Have you ever been subject of any adverse findings or any settlement in civil/criminal proceedings particularly with regard to investments, financial/business, misconduct, fraud, formation or management of a body corporate etc. by the Commission or any other regulatory or professional body or government agency? Yes NO
- C. Have you ever contravened any of the requirements and standards of regulatory system or the equivalent standards of requirements of other regulatory authorities, which would adversely reflect on the above areas? Yes NO
- D. Have you ever entered into a plea bargain arrangement with the National Accountability Bureau? Yes NO
- E. Have you ever been removed/ dismissed in the capacity of an employee, director/ chairman on account of financial frauds, moral turpitude, misconduct and misappropriation of funds? Yes NO
- F. Have you ever been dismissed/ asked to resign/ resigned in Pakistan or elsewhere in order to avoid legal or disciplinary action? Yes NO
- G. Have you ever resigned from a professional or regulatory body in Pakistan or elsewhere in order to avoid legal or disciplinary action? Yes NO

5 FINANCIAL SOUNDNESS

- A. Have you ever been in default of payment of dues owed to any financial institution in individual capacity or as proprietary concern or any partnership firm or in any private unlisted/listed company? Yes NO
- B. Have you ever been in default of taxes in individual capacity or as proprietary concern or any partnership firm or in any private listed/unlisted company? Yes NO
- C. Have you ever been associated as director and/or chief executive with the corporate bodies whose corporate and tax record, including custom duties, central excise and sales tax has been unsatisfactory? Yes NO
- D. Have you ever been declared a defaulter by a stock exchange? Yes NO
- E. Have you ever been in default of taxes in individual capacity or as proprietary concern or any partnership firm or in any private listed/unlisted company? Yes NO

6 DECLARATION

I certify that the above responses and all information provided by me on this Fit and Proper Assessment Questionnaire are truthful, accurate, and complete, and I agree to notify MUFAP promptly of any material changes required in my responses to the foregoing questions.

7 SIGNATURE OF THE APPLICANT

SIGNATURE

Date of Signing: _____