

How to: Complete Section 12 of the Individual Questionnaire:

This step-by-step guidance provides information on the process for completing Section 12 of the Individual Questionnaire (IQ), which must be completed to comply with the Central Bank's fitness and probity regime, via the Online Reporting System (ONR).

To complete Section 12, please follow these steps:

- i. This section is to be completed by an individual in the proposing entity. Only certain Pre-Approved Control Functions can complete this section. They are: Executive Director; Non-Executive Director; Chairman of the Board; CEO; Each Member of a Partnership; Head of Compliance; Head of Compliance with Responsibility for AML/CTF; or a designated delegate for management functions (for Self-Management Investment Companies or Management Companies only).
- ii. Once logged in, on the *Home Page* select '**View/Edit Data**' shown in figure 1.1; this will bring you to a list of the Returns that your firm needs to submit, including the Individual Questionnaire Return, seen in figure 1.2. You must ensure that your Firm Administrator has given you at least Business Administrator access to the Return type 'Individual Questionnaire' in order to be able to complete and submit it on behalf of the firm.



Figure 1.1

Fitness & Probity

Name	Description	
Individual Questionnaire	Individual Questionnaire	

Figure 1.2

- iii. The next screen, shown in figure 1.3, will display the various available options including starting a new IQ, reviewing or submitting an IQ, and viewing previous applications. Select '**Review/Submit An Application**'.

Individual Questionnaire

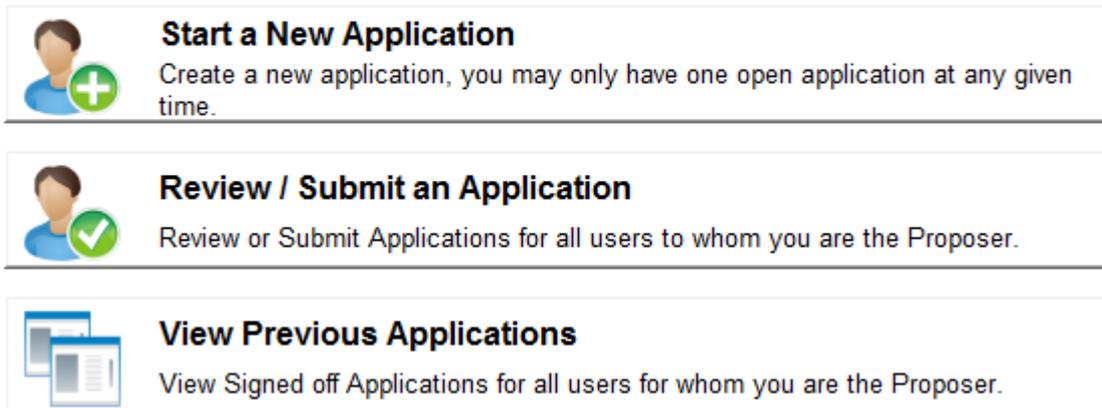


Figure 1.3

- iv. Select the Application you wish to review and submit from the list available. Proposers can review applications, but not amend them.
- v. When you have reviewed all of the Sections that have been completed by the applicant, select Section 12 (Proposer Declaration). The majority of this Section consists of statements that you must read, and then tick the box beside to signify your agreement with them.
- vi. The contact e-mail address entered in Question 12.2 will be the e-mail address that the Central Bank uses to communicate with the proposing firm in relation to this application.
- vii. In Question 12.6, the Proposer must provide details of why they think the applicant is competent and capable to carry out the Control Function for which they are being proposed. The Proposer must also provide details of the why the appointment complements the firm's business strategy, activity and market in which it operates. Please note application may be rejected if Proposer has not answered this question fully.
- viii. If the applicant is going to be a director of the proposing entity, Question 12.10 requires the number of days to be dedicated to this to be entered. This must match the applicant's answer in Section 11 (question 11.13) of the form.
- ix. Section 12 must be completed by the individual electronically signing that Section; the system will register if someone else has completed it, and the application will be rejected.
- x. Once you have completed Section 12, select the '**Save Form**' button. If you have left any mandatory sections blank, you will receive an error message highlighting the section that is blank in red, and you will be unable to save it until this section has been completed. When it has been saved properly, its Status will have updated from 'Blank' to 'Valid'.

- xi. At this stage, the option to 'Submit to Central Bank' will be available, as shown in figure 1.4. Select this when you are happy to submit the form.



Figure 1.4

- xii. When you have selected this option, you will be brought to the *Sign-Off Return* page as shown in figure 1.5. Read the Declaration, and if you are happy with it, tick the box beside it to indicate that. Then select the '**Sign-off Return**' button. This will lock the Return and submit it to the Regulatory Transactions Division of the Central Bank for processing.

Sign-Off Return

The Individual Questionnaire return is ready to be submitted.

The Individual Questionnaire return for C58204_83745b6c_00164 must be 'signed-off' to complete the process of submitting this application to the Central Bank.

Once signed-off, the application will be locked and submitted to the Regulatory Transaction Division for processing.

Declaration

To signify your acceptance of this statement, tick the box below:

I declare that the information which has been entered for the Individual Questionnaire return for C58204_83745b6c_00164 is complete and correct to the best of my knowledge.

Once you are satisfied this application is complete, click the sign-off button below to sign-off and submit the application to the Central Bank for processing.

Figure 1.5