

Due Diligence questionnaire to meet Fitness and Probity requirements relating to credit unions

To comply with the Central Bank Reform Act 2010, The Board of St Canice’s Kilkenny Credit Union is obliged to carry out due diligence on all Control Functions

Please state which of the following roles is applicable

Role	Please Tick as Appropriate
CUPCF-1 – Chair of the Board of Directors	
CUPCF-2 – Manager	
CUCF-1 -Person seeking election to Board of Directors (BOD)	
CUCF-2 – Person seeking election to Board Oversight Committee (BOC)	
CUF -1 (Please state function)	
CUF-2 (please state function)	

Personal Details				
Title	Forename		Surname	
Date of Birth	Date	Month	Year	
Address Line 1				
Address Line 2				
Address Line 3				
Town/City				
Country				
Email				
Date of completion	Date	Month	Year	

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Professional and other relevant experience

1. Please provide details of a) your employment history and b) other relevant experience obtained. Please cover the most recent ten years at minimum

Employer/ Organisation full name	Employer/Organisation Address	Principal Activities	Position held	Relevant responsibilities	Start date (mm/yyyy)	Finish date (if applicable)	Reason for Leaving

2. Please explain any professional timeline gap exceeding 12 weeks within the last ten years

Reason for gap	
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Educational Qualifications/Professional Membership/Training

Please add details of any educational qualification(s) you have achieved, starting with the most recent qualification obtained

Qualification Obtained	Name of Awarding institution	Country	Date of award (YYYY)

Due Diligence questionnaire to meet Fitness and Probity requirements relating to credit unions

Please add details if you hold any professional membership(s)

Membership type	Professional Body name	Membership number (if applicable)	Membership start date (YYYY)

Please add details of any other relevant training you have undertaken

Training Undertaken	Training Provider	Country	Date of training (mm/yy)	Duration of training (days)

Due Diligence questionnaire to meet Fitness and Probity requirements relating to credit unions

Competency

Please indicate your level of competency in relation to the following.

Competency	Competency Level				
	None	Basic	Good	Strong	Very Strong
1. Audit and Compliance Oversight					
2. Board and CEO Performance					
3. Credit union operations					
4. Financial Literacy					
5. Governance and Ethics					
6. Leadership					
7. Regulatory Environment					
8. Risk Management Oversight					
9. Strategic Planning					

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Honest, Ethical and acts with Integrity:

1. Applicants are required to be honest, ethical, act with integrity and be financially sound. Please answer the following questions to indicate that that you are not precluded from acting in the role you are being assessed for due to any of the following.

	Yes	No
Have you ever been a sole trader or a director or partner in a legal entity, which has, in any jurisdiction, been refused, prohibited, restricted or suspended from the right to carry on any trade, business or profession for which a licence, registration or other authorisation is required by the law in that jurisdiction, or has had any such registration, authorisation, membership or licence revoked, otherwise than on a voluntary basis?		
Are you or have you ever been the subject of any complaint made to the Central Bank, the Financial Services Ombudsman or any equivalent body, reasonably and in good faith, relating to activities regulated by the Central Bank or regulated by an equivalent authority in any jurisdiction. In considering whether the complaint adversely affects your ability to carry out a relevant function, consideration shall be given to the outcome of any inquiry or investigation or any similar process into that complaint if same has been concluded?		
Are you or have you ever been, in any jurisdiction, subject to any disciplinary proceedings or been issued a warning, reprimand or other administrative sanction or its equivalent, by the Central Bank, or an equivalent measure issued by any other regulatory authority, (including any previous regulator), any clearing house and exchanges, any professional body, government body or agency?		
Have you been, in any jurisdiction, dismissed, or asked to resign and did resign, from any profession, vocation, office or employment or from any position of trust or fiduciary appointment, whether or not remunerated?		
Have you, in any jurisdiction, been a director of a company that was struck off the register of companies (or its equivalent) by the Registrar of Companies (or its equivalent) on an involuntary basis?		
Have you been disqualified or restricted from acting as a director in any jurisdiction or been disqualified from acting in any managerial capacity?		
Have you, in any jurisdiction:		
<ul style="list-style-type: none"> • been convicted of an offence either of money laundering or terrorist financing (or their equivalents)? • 		
<ul style="list-style-type: none"> • been convicted of an offence which could be relevant to your ability to perform the relevant function? Or • 		
<ul style="list-style-type: none"> • had a finding, judgment or order made against you involving fraud, misrepresentation, dishonesty or breach of trust or where you are subject to any current proceedings for fraud, misrepresentation, dishonesty or breach of trust? 		

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Financial Soundness:

1. Please answer the following questions to indicate that you are not precluded for acting in the role you are being assessed for due to any of the following

	Yes	No
Have you defaulted upon any payment due arising from a compromise or scheme of arrangement with your creditors or made an assignment for the benefit of your creditors?		
Are you or have you been subject to a judgment debt which is unsatisfied, either in whole or in part, whether in the State or elsewhere?		
Are you or have you been the subject of a bankruptcy petition, whether in the State or elsewhere?		
Have you been adjudicated a bankrupt and the bankruptcy is undischarged, whether in the State or elsewhere? or		
Have you been a director of an entity which has been the subject of insolvency?		

Please provide additional details of you answered Yes to any question/s in this section

Please note: Answers may be validated by the Nomination committee using the following checks

- Judgement Search

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Due Diligence Checks

Documentary evidence may be sought to support answers regarding experience, education, training, professional memberships and competencies.

Supporting documents	Provided (Y/N)
Provision of a copy of the relevant transcripts	
Evidence of membership of professional Body	
Employer's References	
Conflicts of interest declaration (mandatory)	

I hereby confirm that I will comply with regulatory and training obligations and meet work schedule obligations as required by St Canice's Kilkenny Credit Union Ltd

I hereby certify that the above information is correct and authorise the nomination committee of St Canice's Kilkenny Credit Union to obtain certification from relevant agencies regarding Fitness and Probity for the purpose of assessing this application.

I understand that following receipt of the completed questionnaire and supporting documentation, I will be available to attend an interview with the nominating committee

Signature:	
Date:	

Due Diligence questionnaire to meet Fitness and Probity requirements relating to credit unions

I confirm that St Canice's Kilkenny Credit Union Limited has performed the necessary due diligence in respect of persons performing PCF/CFs on

and am satisfied on reasonable grounds that the above named person is compliant with the Fitness and Probity Standards for Credit Unions (issued under section 50 of the Central Bank Reform Act 2010).

I also confirm that _____ written agreement to abide by the Fitness and Probity Standards for Credit Unions has been obtained.

Signature: _____

Role Held: _____

Date: _____

Due Diligence Carried Out By :
PRINT NAME
SIGNATURE
JOB TITLE
DATE
PRINT NAME
SIGNATURE

Due Diligence questionnaire to meet Fitness and Probity requirements relating to credit unions

JOB TITLE
DATE

FIT AND PROPER CERTIFICATION LETTER

NAME: _____

Position in Credit Union: _____

I confirm that I have read the code setting out the Fitness & Probity Standards issued by the Central Bank of Ireland (the “F & P Standards”) and I confirm that I comply with those Standards.

I agree to abide by the F & P Standards.

I agree to notify the nomination committee / manager, immediately, in writing, if for any reason I no longer comply with the F & P Standards.

Signature

Date

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