THE CALICUT CO-OPERATIVE URBAN BANK LTD.

APPLICATION FOR THE POST OF CHIEF COMPLIANCE OFFICER(CCO)

Sl.No	Particulars	Information Disclosed
I. Personal details		
1	Name in full	
2	Father's Name	
3	Gender (M/F/Others)	
4	Present Address	
5	E-mail Address & alternate e-mail id : Telephone Number with STD Code : Mobile Number :	
6	Nationality	
7	Date of Birth (dd/mm/yyyy) and Age	
8	Educational Qualifications	
9	Aadhaar Number	
10	Permanent Account Number (PAN)	

11	Permanent Address		
12	Present occupation (designation, name of the organisation and brief write-up on experience)		
13	Previous occupation covering minimum of past ten years, with complete address of the organisation(s) worked in, date of joining, date of relieving (including reasons), designation, etc.		
14	Details regarding work experience in banking sector/ RBI regulated entity (name of the bank/ entity, number of years at different designations, functional areas, etc.)		
1			
2			

3			
4			
5			
6			
7			
8			
15	Any other information relevant for appointment as CCO of the bank:		

II	**Relevant Relationships of proposed CCO**	
16	List of Relatives, if any, who are connected with the Bank	
17	List of entities in which : (a) interested (b) Beneficial ownership (c) Trustee	
18	List of entities, existing and proposed, in which holding substantial interest within the meaning of Section 5(ne)1 of the Banking Regulation Act, 1949 (as applicable to UCBs)	
19	Details of holdings in entities incorporated abroad and having a place of business in India.	
20	Name of Bank/NBFC/any other company in which currently or in the past a member of the Board/ Advisor etc. (giving details of period during which such office is being/was held).	
21	If connected with any entity undertaking hire purchase, financing, investment, leasing and other para banking activities (nature of association to be mentioned), details thereof.	

22	If a stock broker or connected with any entity engaged in share broking activities, details thereof.		
23	Details of fund and non-fund-based facilities, if any, presently availed in person and/or by entities listed in (17) to (22) above.		
24	Cases, if any, where as an individual or the entities listed at (17) to (22) above have defaulted or declared as willful defaulter in the past in respect of credit facilities obtained from a bank/NBFC/any other lending institution.		
III	**Records of professional achievements**		
25	Professional achievements relevant for the post of CCO		
IV.	**Proceedings, if any, against the Applicant**		
26	a.	As a member of a professional association/body, details of disciplinary action, if any, pending or commenced or resulting in conviction in the past or whether been banned from entry at any profession/ occupation at any time, details thereof.	
	b	If subject of any written complaint or accusation regarding individual professional conduct or activities, details thereof.	

27	Details of prosecution, if any, pending or commenced or resulting in conviction of self or the entities listed at (17) to (22) above for violation of economic laws and regulations.	
28	Details of criminal prosecution, if any, pending or commenced or resulting in conviction.	
29	Whether he/she has indulged in or penalised for any breach of AML/CFT guidelines, if so, details thereof.	
30	If adjudicated insolvent or has suspended payment or has compounded with creditors, details thereof.	
31	If found to be of unsound mind and stands so declared by a competent Court, details thereof.	
32	a. If convicted by a Criminal Court of an offence which involves moral turpitude or otherwise, details thereof.	
	b If convicted by any Court of law, details thereof?	
33	If as an individual or any of the entities at (17) to (22) above have been subject to any investigation/ vigilance/matters of enquiry from any of the previous employers or government departments or agency, details thereof	
34	If found guilty of violation of rules/regulations/ legislative requirements by customs/ excise/ income tax/ foreign exchange/ other revenue authorities, details thereof.	
35	If reprimanded, censured, restricted, suspended, barred, enjoined, or otherwise sanctioned by any other regulator such as SEBI, IRDAI, PFRDA etc., professional organisation, government agency, or court because of professional conduct or activities, details thereof.	

	(Though it shall not be necessary for a candidate to mention in the column about orders and findings which have been later on reversed/ set aside in to, it would be necessary to make a mention of the same, in case the reversal/ setting aside is on technical reasons like limitation or lack of jurisdiction, and not on merit. If the order is temporarily stayed and the appellate/ court proceedings are pending the same also should be mentioned)	

Undertaking

I confirm that the above information is to the best of my knowledge and belief, true and complete. I undertake to keep the bank fully informed, as soon as possible, of all events which take place after my appointment which are relevant to the information provided above.

I also undertake to execute a 'Deed of Covenant' as required to be executed with the bank.

Signature of the Applicant