

THE CALICUT CO-OPERATIVE URBAN BANK LTD.,

'Declaration and Undertaking' by a proposed CCO

(With appropriate enclosures)

(Refer circular DOR.GOV.REC.25/12.10.000/2021-22 dated June 25, 2021)

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 Qualification	
9.	Aadhaar Number	

10.	<p>(a) Permanent Account Number (PAN)</p> <p>(b) Place where the CCO is assessed to tax (Income Tax jurisdiction) /name and address of Income Tax Circle/Ward</p> <p>(c) Details of filing of return(s) and Payment of taxes for past 3 years</p>		
11.	Permanent Address		
12.	Present Occupation (designation, name of the organization and brief write-up on experience)		
13.	Previous occupation covering minimum of past ten years, with complete address of the organization (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.			
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8.			
15.	In case a Chartered Accountant,		

	<p>indicate the following:</p> <p>(a) Membership Number of Institute of Chartered Accountants of India (ICAI):</p> <p>(b) Date of registration with the ICAI:</p> <p>(c) Name and Address of the registered firm/s:</p> <p>(d) Details of the Audit(s) presently undertaken by the firm(s) or by you:</p>	
16.	<p>Name of the banker(s) with Branch and Account Numbers (savings/current/loan accounts) where you are a primary account holder:</p>	
17.	<p>Details of share holding, if held in any entity, either in physical or dematerialized form, by you, spouse, and your minor child. (attach demat / share holding certificate)</p>	
18.	<p>Any other information relevant for Appointment as CCO of the bank:</p>	

II. Relevant Relationships of proposed CCO

19.	List of relatives, if any, who are connected with the bank:	
20.	List of entities in which: (a) Interested (b) Beneficial ownership (c) Trustee	
21.	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)	
22.	Details of holdings in entities incorporated abroad and having a place of business in India.	
23.	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 offices being/was held).	
24.	If connected with any entity undertaking hire purchase, financing, investment, leasing and other para banking activities (nature of association to be mentioned), Details thereof.	

25.	If a stock broker or connected with any entity engaged in share broking activities, details thereof.	
26.	Details of fund and non-fund based facilities, if any, presently availed in person and/or by entities listed in(20)to (25)above.	
27.	Cases, if any, where as an individual or the entities listed at (20) to (25) 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

28.	Professional achievements relevant for The post of CCO	
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IV. Proceedings if any against the proposed CCO

29.	(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 hereof.	
	(b) If subject of any written complaint or accusation regarding individual professional conduct or activities, Details thereof.	

	or commenced or resulting in conviction of self or the entities listed at (20) to (25) above for violation of economic laws and regulations.	
31.	Details of criminal prosecution, if any, pending or commenced or resulting in conviction.	
32.	Whether he/she has indulged in or penalized for any breach of AML/CFT guidelines, if so, details thereof.	
33.	If a judicated insolvent or has suspended payment or has compounded with creditors, details thereof.	
34.	If found to be of unsound mind and stands So declared by a competent Court, details thereof.	
35.	(a) If convicted by a Criminal Court of an offence which involves moral turpitude or otherwise, details hereof.	
	(b) If convicted by any Court of law, details thereof?	
36.	If as a individual or any of the entities at (20) to (25) above have been subject to any investigation/ vigilance/ matters of enquiry from any of the previous employers or government departments or agency, details thereof.	
37.	If found guilty of violation of rules/regulations/ legislative requirements by customs/excise/ income tax/ foreign exchange/ other revenue authorities, details thereof.	
38.	If reprimanded, censured, restricted,	

	<p>suspended, barred, enjoined or otherwise sanctioned by any other regulator such as SEBI, IRDAI, PFRDA etc. professional organization, government agency, or court because of professional conduct or activities, details thereof.</p> <p><i>(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 into, 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 orders temporarily stayed and the appellate/court proceedings are pending, the same also should be mentioned).</i></p>	
V. General Information		
39.	<p>If a professional like Chartered Accountant, Advocate etc. and presently undertaking/undertaken any professional work in any bank or RBI regulated entity, provided details thereof including the name and period of association.</p>	
40.	<p>If a sitting MP/MLA/MLC or holding political position in Municipal Corporation or Municipality or other local bodies, provide details thereof.</p>	
<p>VI. In the interest of disclosure and transparency, should here be any other information relevant for assessing 'fit and proper' status, provide details thereof.</p>		

<u>Undertaking</u>	
<p>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.</p> <p>I also undertake to execute a 'Deed of Covenant' as required to be executed with the bank.</p>	
Signature of proposed CCO	
Remarks of Appointment Committee of having satisfied itself that the above Information is true and complete.	
Signature of the Chairman of the Appointment Committee	