

Schedule 2

ISSUER REGISTRATION STATEMENT  
Sections 97(2), 97(3) and 97(4) of the Securities Act, 2001

FORM RS - 2

Select One:  Annual Registration  Issue of Securities

National Bank of Dominica Ltd

(Exact name of Company as set forth in Certificate of Incorporation)

Place and date of incorporation:

Commonwealth of Dominica; November 25th 2003

Street and postal address of registered office:

64 Hillsborough Street, Roseau, Dominica

Company telephone number: (767) 255-2300

Fax number: (767) 448-3982

Email address: customersupport@nbd.dm

Financial year-end: June 30 2016  
(month) (day) (year)

Contact person(s): Ellingworth Edwards

Asha James

Telephone number (if different from above): (767) 255-2319

Fax number: ( )

Email address: eedwards@nbd.dm/ mbethel@nbd.dm

Did the company file all reports required to be filed by Section 98 of the Securities Act, 2001 during the preceding 12 months?

Yes

No

Did the company file all reports required to be filed by the Companies Act during the preceding 12 months?

Yes

No

**1. Description of the Industry in which the Company Operates**

Banking
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**2. Exchanges on which the Company's Securities are Listed**

Exchange(s)	Securities Type	No. of Shares	Valuation
N/A	N/A	N/A	N/A

**3. Description of Securities Being Offered (including who is the Issuer and who is the Offeror of the Securities)**

N/A
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**4. Territories in which Securities are Being Offered**

Territory	Effective Date
N/A	N/A

**5. Description of Share Capital**

a) Authorised

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
Ordinary	22,000,000

b) Issued

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
Ordinary	22,000,000

c) Outstanding

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
N/A	

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Anthony C. John Position: Chairman

Mailing Address: P.O. Box 2235  
Roseau  
Dominica

Telephone No.: 1 767 616 0100

List jobs held during past five years (include names of employers and dates of employment).

Manager - Printing Services, Ross University School of Medicine, November 2010 - present

Give brief description of current responsibilities

Overall responsibility for the management of student and colleague printing platforms across the RUSM campus

Education (degrees or other academic qualifications, schools attended, and dates):

BSc - Computing & Management  
Lehman College - City University of New York  
1990 - 1994

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Lorna Shillingford Charles Position: Director

Mailing Address: P O Box 2236  
Roseau  
Dominica

Telephone No.: 767-616-9626

List jobs held during past five years (include names of employers and dates of employment).

Digicel Dominica 2008 to present

Give brief description of current responsibilities

Finance Manager

- Management of the Finance team including resource planning, delegation of duties, performance management, progress feedback and staff reviews.
- Co-ordinating the production of accurate and timely monthly management accounts in accordance with GAAP, Group standards and deadlines.
- Assist in the presentation of monthly board material, including ARPU and Revenue Analysis, Expense analysis and comparison of performance against budget
- Ensure the development and ongoing existence of strong internal controls, and compliance with accounting policies and procedures.
- Oversee the spending of the departments ensuring that it is aligned to budget. This includes approval of purchase orders, review of OPEX tracker and advising managers on management of same.
- Preparation of ad-hoc Management and Shareholder reports.
- Managing the annual audit.

Education (degrees or other academic qualifications, schools attended, and dates):

BSc Degree University of South Carolina 1994  
ACCA 2008 (Affiliate)  
Accredited Director

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Rudaille Thomas Position: Director

Mailing Address: 1240 Bay Street  
Portsmouth  
Dominica

Telephone No.: 767-235-5184

List jobs held during past five years (include names of employers and dates of employment).

Accounts Executive for Rudolph F. Thomas & Family Ltd.

Give brief description of current responsibilities

Responsibilities include; Sales, Purchases, Inventory Control, Accounts Receivables

Education (degrees or other academic qualifications, schools attended, and dates):

A level in Economics and Accounting, Clifton Dupigney Community College, Dominica, 1996  
Bachelors in Business Administration, Accounting/Management, Inter American University, Puerto Rico, 2001  
Accredited Director, Institute of Chartered Secretaries and Administrators, 2015  
Certificate in Corporate Governance, Caribbean Governance Training Institute, 2015

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Paul Francis Moses Position: Director

Mailing Address: P.O.Box 2249 Roseau  
Dominica

Telephone No.: 767-275-4024

List jobs held during past five years (include names of employers and dates of employment).

Commercial Manager, Dominica Electricity Services (DOMLEC) Oct 10, 2016 to present

Deputy Manager, PDV Caribe (Dominica) Ltd.  
2008 -June 2016;

Give brief description of current responsibilities

Responsible for Commercial Department  
Budget preparation ,management, and control  
Customer service management  
Reporting on performance of Department

Education (degrees or other academic qualifications, schools attended, and dates):

1985-1988- Panjab University, India: Bachelor of Commerce (1st Class Hons)  
1995-1996- Loughborough University, England: MBA in Business Development  
2011- Karrass, Tampa, USA: Certificate in Effective Negotiating  
2012- ICSA, Trinidad: Accredited Director

*Use additional sheets if necessary.*



**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Phillip R. White Position: Director

Mailing Address: 19 Rose Street  
Goodwill  
Dominica

Telephone No.: 767-4483024/ 767-2659016

List jobs held during past five years (include names of employers and dates of employment).

1. Dominica Football Association Inc. August 2008- July 2015- Treasurer/Accountant
2. Lericon Printers Ltd. October 2006- February 2012- Accountant
3. Dominica Olympic Committee Inc. March 2013 - Treasurer
4. Federation de Football Internationale (F.I.F.A)-December 2011- March 2016 - Committee Member,

Give brief description of current responsibilities

Responsible for all financial transaction to include the preparation of annual budgets representing the activities to be undertaken by the National Association affiliated to the Dominica Olympic Committee (DOC) Inc. These budgets are to be submitted to the International Olympic Committee within a certain time frame to receive funding.

Coordinating the activities between the DOC and its affiliates to ensure that reporting standards are maintained and accountability guidelines are strictly adheres to.

Liaising with foreign athletes to ensure that their needs are meet in terms of financial support and their evaluation reports are returned according to the prescribed regulations.

Preparation of financial reports for audit purposes and reporting at the Annual Conference of affiliates.

Preparation of financial statements for individuals owning small business ventures required for taxation purposes.

Education (degrees or other academic qualifications, schools attended, and dates):

St.Mary's Academy – 1967 -1973  
Sixth Form College - 1973 – 1975 – (Economics, Mathematics, History)  
Certification MInstCM - Member of the Institute of Commercial Management -UK.

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Genevieve Astaphan Position: Director

Mailing Address: P.O.Box 75  
Roseau  
Dominica

Telephone No.: 767-275-4223/6167221

List jobs held during past five years (include names of employers and dates of employment).

May 2000- present Managing Director of J. Astaphan & Co Ltd

Give brief description of current responsibilities

Director responsible of finance, inventory management and human resource

Education (degrees or other academic qualifications, schools attended, and dates):

1981: Bachelor of Arts University of Western Ontario

1992: Certified General Accountant

2012 November: Accredited Director, ICOSA

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Gibbs Stephenson Position: Director

Mailing Address: P.O. Box 1744, Roseau, Commonwealth of Dominica  
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Telephone No.: 1-767-317-7776

List jobs held during past five years (include names of employers and dates of employment).

2009 - present: Finance & Administration Manager- PDV Caribe Dominica Ltd

Give brief description of **current** responsibilities

- Management of Finance & Administration Department
- Preparation of financial statements and related financial information, including business plan together with related financial analysis.

Education (degrees or other academic qualifications, schools attended, and dates):

2008: ACCA

2012: Accredited Director ICOSA

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**DIRECTORS OF THE COMPANY**

Name: Hazel Johnson Position: Attorney at law/Partner

Mailing Address: P.O. Box 1891  
Roseau  
Commonwealth of Dominica

Telephone No.: 767-448 2530/ 767-448-8571

List jobs held during past five years (include names of employers and dates of employment).

Attorney at law: de Freitas, de Freitas & Johnson; 2002 to present

Give brief description of current responsibilities

Manage Law Chambers  
Provide legal representation & advice in both contentious and non-contentious matters

Education (degrees or other academic qualifications, schools attended, and dates):

LLB (Hons) ; UWI Cave Hill 1996  
Legal Education Certificate; Hugh Wooding Law School 1998

*Use additional sheets if necessary.*

BIOGRAPHICAL DATA FORMS

EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Ellingworth Edwards Position: Managing Director

Mailing Address: Roseau  
Roseau  
Dominica

Telephone No.: 767-255-2620

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

Managing Director - National Bank of Dominica Ltd - July 2014 to present.

- a) Formulate strategic objectives and initiatives,
- b) Oversee implementation and execution of strategic plans
- c) Oversee operations of the institution
- d) Provide leadership to management team and general staff body.
- e) Lead negotiator on critical matters.

Education (degrees or other academic qualifications, schools attended, and dates):

MBA (Finance) - University of North Texas, USA - 2005  
Post-Graduate Diploma - Mediterranean Institute of Management, Cyprus - 1993  
MSc (Accounting) - North Texas State University, USA - 1988

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

## BIOGRAPHICAL DATA FORMS

### EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Asha James

Position: Executive Manager, Legal Services & Corporate Secretary

Mailing Address: Dominica

Dominica

Telephone No.: 767-275-0084

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

2007- Present : Executive Manager, Legal Services and Corporate Secretary (National Bank of Dominica Ltd)

#### Responsibilities

- Provides legal and corporate governance advice to Board of Directors, Executive Management and other bank departments of NBD Ltd and its subsidiary;
- Resolves legal issues as they arise in the operations of banking and corporate activity;
- Drafts contracts and other legal documents, including credit agreements, loan securities, employment contracts;
- Oversees and manages litigation involving members of NBD Group;
- Develops, coordinates and evaluates the Group's Corporate Policies, procedures and programmes in relation to shareholder relations, corporate governance and legal services;
- Ensures compliance with the requirements of the Eastern Caribbean Stock Exchange and Securities Commission in accordance the relevant Securities legislation and regulations;
- Manages staff of the Corporate and Legal Department and prepares annual budget and department strategic plans.

#### Education (degrees or other academic qualifications, schools attended, and dates):

Legal Education Certificate, Council of Legal Education, Hugh Wooding Law School

2011 Post Graduate Diploma in Professional Training for the Bar, with grade 'Very Competent', BPP Law School, London, United Kingdom

2007 Master of Laws with Distinction (Commercial and Corporate Law), University College London, United Kingdom

2006 Bachelor of Laws with Second Class Honours (Upper Division), University College London, United Kingdom

2015 -present Admitted to the Practice Law in Trinidad and Tobago, Supreme Court of Judicature, Trinidad and Tobago

2015 -present Admitted to the Practice of Law in the Commonwealth of Dominica, Eastern Caribbean Supreme Court

2015 -present Certified Mediator, University of the West Indies, Judicial Education Institute

2011-present Called to the Bar, in the United Kingdom

2007-present Accredited Director (Acc. Dir), Institute of Chartered Secretaries and Administrators (ICSA), Canada and Eastern Caribbean Securities Exchange

Also a Director of the company

Yes

No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

BIOGRAPHICAL DATA FORMS

EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Nellisa Cindy Anselm Position: Executive Manager - Banking Services

Mailing Address: P.O. Box 2072, Roseau, Dominica  
P.O. Box 2072, Roseau, Dominica

Telephone No.: 767-275-0964

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

2015 - Current:	Executive Manager - Banking Services (National Bank of Dominica)
Summary of Responsibilities: Management of the Customer Service, Branch Network and Back Office Operations functions of the Bank, through the development, implementation and monitoring/review of strategic initiatives to achieve profitability/growth objectives.	
2014 - 2015:	Manager - Credit Underwriting and Monitoring (NBD)
2013 - 2014:	Manager - Portsmouth Area (NBD)
2010 - 2013:	Credit Risk Officer (NBD)

Education (degrees or other academic qualifications, schools attended, and dates):

2010 - 2014: MSc International Business	University of London
2003 - 2008: BSc Accounting & Finance	University of London
2001 - 2003: Diploma in Banking & Financial Services	University of West Indies
1998 - 2000: Cambridge A-Levels (Major - Accounting)	C. Dupigny Community College
1993 - 1998: CXC O-Levels (Major - Business)	Grand Bay Secondary
Other Professional: Certificates in: Bank Card Operations; Customer Service, Sales & Marketing; Anti Money Laundering; Leadership; Lending; International Trade Finance; Credit; Customer Experience Management; Training; Business Writing; Coaching; Executive Management; Qualified Financial Advisor, Credit Risk Analysis	

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

## BIOGRAPHICAL DATA FORMS

### EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Suzanne Joseph-Piper Position: Executive Manager, Marketing and Product Management

Mailing Address: Dominica  
Dominica

Telephone No.: 767-275-3375

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

September 9th 2009- Present: Executive Manager, Marketing and Product Management  
National Bank of Dominica Ltd

- (a) Formulates, evaluates and recommends the Group's strategic plans, and changes and adjustments to the Group's overall strategic business plan.
- (b) Prepares the department's annual budget and strategic plan including marketing strategy in line with the Bank's strategic plans and objectives for inclusion in the Bank's overall budget and implements plans and programmes on approval.
- (c) Implements approved plans ensuring that funds are prudently managed and costs remain within budget.
- (d) Conducts and analyzes market research to measure product and service performance, to determine competitiveness and public perceptions of the Bank's corporate image, products, services and customer interactions and to make pricing and other recommendations for improvements and change.
- (e) Prepares and effectively executes approved marketing, advertising and public awareness campaigns and or programmes using various media in collaboration with key internal and external stakeholders to promote the Group's products and services in order to promote growth and increase revenue.
- (f) Ensures that effective sales approaches are designed and implemented in collaboration with Banking Services as required.
- (g) Coordinates the customer care initiatives including effectively monitoring complaints and queries, responding promptly and appropriately to issues with corporate reputational impact.
- (h) Prepares and implements a creative and effective communication strategy, bank-wide communication guidelines/standards and other pertinent corporate communication.
- (i) Design, implement and evaluate measures/initiatives to expand the Bank's markets, marketing platforms and deliver the products and services to relevant markets.
- (j) Designs, effectively organises and coordinates the implementation of the Bank's public relations programmes including public consultations, media launches, community projects, press conferences, posting of material on electronic media, workshops, fairs, special events, donations to increase public awareness and strengthen the Bank's position as an esteemed corporate citizen through-out the country.
- (k) Negotiates contracts with vendors and distributors channel distribution networks and developing distribution strategies.
- (l) Organises and leads the Bank's Product Development Committee to ensure that new and or amended products and services initiatives are reviewed/assessed by the Committee and recommendations are submitted to the Executive Committee.
- (m) Ensures that the Bank's suite of products and services are up to date, current and operate profitably.
- (n) Effectively manages the Bank's products and services including the development initiatives, roll-out and maintenance phases of new and or existing products and services

Education (degrees or other academic qualifications, schools attended, and dates):

BSc  
MBA

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*



## BIOGRAPHICAL DATA FORMS

### EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Joel Denis Position: Executive Manager Credit & Business Development

Mailing Address: Castle Comfort, P.O Box 513, Roseau  
Castle Comfort, P.O Box 513, Roseau  
Commonwealth of Dominica

Telephone No.: (767) 255 -2614

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

Executive Manager Credit & Business Development (Ag) National Bank of Dominica Ltd March 15, 2016 to present  Head of Credit Department – Strategic and operational oversight. Credit Review and approval. Risk Management. Recoveries and Collections. Human Resource Management.  Manager Credit & Business Development National Bank of Dominica Ltd October 2014 to March 2016  Head of sales and relationship management unit. Manage team responsible for growing and management loans portfolio. Broad oversight of relationship management. Human Resource management.  Acting General Manager Caribbean Union Bank Ltd January 2015 to April 2015  Strategic and operation oversight of all departments. Specific responsibility for Credit Department. Prepare Board reports and provide advice on operation and strategic issues.  Manager Private & Corporate Banking National Bank of Dominica Ltd July 2010 to September 2014  Head of Private & Corporate Banking Unit (High Net Worth loan and deposit customers). Portfolio growth. Relationship Management. Operational Oversight.
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Education (degrees or other academic qualifications, schools attended, and dates):

Post Graduate Diploma in International Management University of London (2010)  Qualified Financial Advisor Kaplan Financial (2009)  BSc. Management Studies University of the West Indies (2008)
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Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY**

Name: Lilian Polydore Position: Executive Manager - HR&CS

Mailing Address: 15 Street, Canefield  
15 Street, Canefield  
Commonwealth of Dominica

Telephone No.: 767 275 1095

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

- 1. National Bank of Dominica Limited, Executive Manager, Human Resource and Corporate Services - 1 December 2014 - present  
Responsible for all HR and related functions and facilities management with related functions including physical security administration
- 2. National Bank of Dominica Limited, Executive Manager, Human Resource and Organisational Development - 1 December 2011 - 30 November 2014  
Responsible for all HR and related functions including performance management and improvement, recruitment, payroll administration, employer/labour relations, change programmes.

Education (degrees or other academic qualifications, schools attended, and dates):

- 1. MBA - University of Leicester: 2012
- 2. BSc Management (First Class Hons) - UWI, Cave Hill: 1999
- 3. Certificate - Strategic Human Resource Management - UWI, Institute of Business (IOB)
- 4. Certificate - Human Resource Information Systems - Implementation and Management - UWI, IOB
- 5. Certificate - Project Management
- 6: Certified Air Traffic Controller (Distinction), Barbados School of Air Traffic Services

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY**

Name: Linda Toussaint Peter Position: Chief Financial Officer

Mailing Address: Fond Baron, Loubiere  
Fond Baron, Loubiere  
Dominica

Telephone No.: 1 767 44 82117 / 275 1781

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

Chief Financial Officer - March 2016 - Present

Executive Manager Credit & Business Development - September 2014 - March 2016

Executive Manager Corporate Services - October 2012 - September 2014

Executive Manage Finance & Control - September 2010 - September 2012

**Current Responsibilities**

To provide strong support to the Managing Director and Board in the effective and efficient management of the Finance and Accounting funds of the NBD Group ensuring the provision of sound financial advice, effective policy formulation, accurate and comprehensive financial accounts and management reports in accordance with IFRS. Oversee all finance, accounting, forecasting, budgeting and treasury functions of the NBD Group and the profitability and efficient cash management in accordance with standards and regulatory guidelines.

Education (degrees or other academic qualifications, schools attended, and dates):

FCCA  
ACCA  
BSC Accounting - University of the West Indies St Augustine

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

## BIOGRAPHICAL DATA FORMS

### EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY

Name: Marilyn Lawrence Edwards Position: Head/Supervisor of Internal Audit

Mailing Address: 64 Hillsborough Street, Roseau  
64 Hillsborough Street, Roseau  
Dominica

Telephone No.: 767-255-2639

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

Head/Supervisor of Internal Audit (NBD Ltd.) -  
current responsibilities:

- Provides leadership by example, ensuring consistency, integrity in decision making, timely and effective performance management, appropriate training and development of staff.
- Develops and conducts a comprehensive internal audit plan for the Bank, ensuring that all key risk areas are properly covered in the audit cycle.
- Reviews and evaluates the adequacy, effectiveness and integrity of the systems of control.
- Practice compliance within the National Bank of Dominica in accordance with Eastern Caribbean Central Bank (ECCB) guidelines, the legal, regulatory framework of Dominica and the policies and procedures of National Bank of Dominica.
- Provides timely and accurate reports to the Board of Directors and Management with sound recommendations to control and minimize risk and improve the compliance, reliability and integrity of Bank's processes and procedures.
- Ensures the appropriate action is taken on report audit findings and that the relevant training is provided to staff in the areas deemed necessary by the results of the audit.
- Liaises closely with external auditors and regulatory agencies to make sound recommendations to the Board to control and manage risk effectively, improve efficiency, ensure proper compliance and add value to improve the Bank's overall operation
- Establishes and maintains a program of quality assurance designed to evaluate the conformity of internal audit procedures to guidelines under which the Group operates and International Internal Audit Standards

Education (degrees or other academic qualifications, schools attended, and dates):

BA Accounting (Suma Cum Laude) - University of the Virgin Islands - 1995  
MBA - University of Leicester - 2006  
Certified Internal Auditor (CIA) - 2011

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

**BIOGRAPHICAL DATA FORMS**

**EXECUTIVE OFFICERS AND OTHER KEY PERSONNEL OF THE COMPANY**

Name: Carol A Lawrence Position: Executive Manager, Risk and Compliance

Mailing Address: Goodwill  
Goodwill  
Dominica

Telephone No.: 767 448 5694

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of **current** responsibilities.

June 2015 to present (October 2016)- Executive Manager, Risk and Compliance:  
Safeguard the Bank, and assist in achieving desired strategies through:  
Identifying and assessing risks in credit portfolio, including watch-listed and non-performing accounts, recommending provisioning amounts and changes to related processes. Monitors credit exposures against regulations and risk appetite.  
Identifying and assessing operational risks  
Managing the Business Continuity Function, ensuring mitigation measures are in place for possible periods of disruption  
Monitoring Compliance with regulations, standards and policies, alerting management of updates to legislation.  
Identifying, assessing and monitoring Anti-Money Laundering risks making recommendations for mitigating measures  
Identifying and assessing risks related to bank's capital adequacy requirements  
Participating in the Bank's Asset Liability Management Process as a member of the ALCO committee  
Reviewing investment related information  
Review of / drafting risk related policies  
April 2011 to May 2015- Compliance Officer, National Bank of Dominica

Education (degrees or other academic qualifications, schools attended, and dates):

Certified Anti-Money Laundering Specialist (CAMS) June 2014  
Bachelor of Business Administration , Finance ( Hons)

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

**8. SUBSTANTIAL SHAREHOLDERS**

- (a) Principal owners of the company (those who beneficially own more than 5% of the common and preferred shares presently outstanding whether directly or indirectly) starting with the largest common shareholder. Indicate by endnote any transaction where the consideration was not cash. State the nature of any such consideration.

**SECURITIES NOW HELD:**

Name: Address:	Class of Shares:	No. of Shares:	% of Total
Government of the Commonwealth of Dominica	Ordinary	10,755,074	48.88%
Dominica Social Security	Ordinary	1,356,234	6.16%

- (b) Include all common shares issuable upon conversion of convertible securities and show conversion rate per share as if conversion has occurred.

**UPON CONVERSION:**

Name: Address:	Class of Shares:	Conversion Rate:	No. of Shares upon Conversion	% of Total*
N/A				

\* Current holding of shares if conversion option were exercised.

**SIGNATURES**

A Director, the Chief Executive and Corporate Secretary shall sign this Registration Statement on behalf of the company. By so doing each certifies that he has made diligent efforts to verify the material accuracy and completeness of the information herein contained.

Name of Chief Executive Officer:

**Ellingworth Edwards**



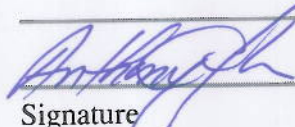
Signature

**October 25 2016**

Date

Name of Director:

**Anthony John**



Signature

**October 25 2016**

Date

Name of Corporate Secretary:

**Asha James**



Signature

**25 October 2016**

Date