

PERSONAL QUESTIONNAIRE FOR DIRECTORS, OFFICERS AND SECURITY HOLDERS OF PERSONS REGISTERED UNDER PART III OF THE ACT OR REGISTERED COMPANIES OR MUTUAL FUNDS

General Instructions:

If insufficient space is provided, please attach additional information.

WARNING: Intentional misstatement or failure to disclose information may constitute an offence.

A. Personal details

1. Name of the registered person (marketplace, company etc.) in connection with which this questionnaire is being completed.	
2. Full legal name of Applicant: Surname, Given names	
3. List any previous names of the Applicant.	
4. Indicate role(s) for which approval is sought	Director: Officer: Security holder:
5. If applying as security holder, set out number and class of securities of entity listed in 1. held/proposed to be held Indicate if Applicant is a significant security holder of the entity listed in 1. above	Number & class of securities: Significant security holder: Yes:
6. Home address	
7. Previous home addresses during the last ten years (with relevant dates)	Previous address 1: Dates at this address: Previous address 2: Dates at this address: Previous address 3: Dates at this address:

8. Date of Birth	
Place of birth (including town, state and country)	
9. Citizenship	Belize Other
10. Identification number (Passport No., National Identification No., Social Security No.,)	Number: Type:

B. Employment and Educational History

<p>11. Present occupation or employment including:</p> <ul style="list-style-type: none"> the name and address of the employer, the nature of business, title of position held, and relevant start date <p>Provide the name, position, telephone number of a reference</p>	
<p>12. Prior occupations and employment during the last ten years, including:</p> <ul style="list-style-type: none"> the name and address of the employer, the nature of business, title of position held, and relevant dates, leaving no period unaccounted for <p>For each employer, provide the name, position & telephone number of a reference</p>	
<p>13. List companies of which the Applicant –</p> <p>(a) currently is a director or significant security holder</p> <p>(b) has been a director or significant security holder at any time during the last ten years?</p> <p>(Specify the name of the entity, the country of incorporation, and the nature of business in each case)</p>	<p>(a) Current director or significant security holder</p> <p>(b) Previous director or significant security holder</p>

14. Describe the formal education or training the Applicant has (including professional qualifications or degrees and year in which they were obtained).	
15. Are you or have you ever been a director, officer, security holder, or employee of any other entity registered with the Commission? If yes, please provide details	No Yes (if yes, attach full details)
16. Have you ever been licensed as a securities representative or similar capacity in any other jurisdiction?	No Yes (if yes, attach full details, including copy of evidence of such registration)

C. Discipline History

17. Have you or any person with which you were associated as a director, security holder, manager, officer or significant security holder, in any jurisdiction, been disciplined by any stock exchange, securities regulatory body or professional association or been denied admission, registration or renewal or had a membership or registration revoked?	No Yes (if yes, attach full details)
18. Have you or any person with which you were associated as a director, security holder, manager, officer or significant security holder, in any jurisdiction ever been declared bankrupt, been convicted of a crime or been sued under any commercial law, securities law, companies law or law concerning fraud?	No Yes (if yes, attach full details)
19. Have you at any time been involved with an application for regulatory approval in any jurisdiction where that application has been refused or withdrawn?	No Yes (if yes, attach full details)
20. Have you, in any jurisdiction, been dismissed from any office or employment or barred from entry to any profession or occupation?	No Yes (if yes, attach full details)

<p>21. Has any person with which you were associated as a director, manager, officer or security holder, in any jurisdiction, been compulsorily wound up or made any arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while you were associated with it or within one year after you ceased to be associated with it.</p>	<p>No</p> <p>Yes (if yes, attach full details)</p>
<p>22. In carrying out your duties will you be acting on the directions or instructions of any other person?</p>	<p>No</p> <p>Yes (if yes, attach full details)</p>

“I, the undersigned, hereby affirm that to the best of my information, knowledge and belief the contents of this form and any attachments provided with this form are true, correct and not misleading and that I am in compliance with all the applicable provisions of the Act. I undertake that, as long as I continue to be a director, security holder, manager, officer, or security holder of the registered person named in item 1, I will

- Continue to comply with all the applicable provisions of the Act, and
- Notify the Commission immediately of any material changes affecting the completeness of the answers to any of the questions above.

“I also hereby authorize the Commission to make such enquiries and seek such further information as it thinks appropriate in verifying the information given in this Personal Questionnaire, or in any other documents submitted as part of this application, for the purposes of performing its due diligence and background checks. I understand that the results of these checks may be disclosed to the person who submitted this application.”

<p>Date:</p>	<p>Signature:</p>
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Other documents to be attached:

1. A copy of Work Permit or Permanent Residence Permit (for non-Belize citizens)
2. A copy of the relevant pages of the applicant’s passport (to include name, date of birth, nationality, signature, expiration date and photograph).
3. Applicant’s current Police Certificate (not more than three months old).
4. Three recent photographs of Applicant, individually signed on the back by the Applicant.