

REFERENCE (for official use only)

**THE INTERNATIONAL STOCK EXCHANGE AUTHORITY LTD  
(the “Authority”)  
PERSONAL QUESTIONNAIRE**

“NAME OF COMPANY”

NAME OF INDIVIDUAL

PROPOSED OR ACTUAL DATE OF APPOINTMENT

**Notes:**

- (1) Please answer all questions, and if a question is answerable in the negative, please answer "No". Do not leave any section blank.
- (2) If insufficient space is provided for completion of any paragraph, additional information may be provided on a separate sheet of paper duly signed and attached.
- (3) In this form, the term "company" includes anybody corporate wherever incorporated.
- (4) Every director and trader of the Member must complete a copy of this form, or if the applicant has submitted a Personal Questionnaire (**PQ**) to the GFSC or JFSC he may, as an alternative, submit the most recent Personal Questionnaire supplied to the GFSC or the JFSC, along with a Supplement to the Personal Questionnaire.
- (5) This PQ must be completed and lodged with the Authority within 14 days of the appointment of the new director or trader.

**1. PERSONAL DETAILS**

Title (Mr/Mrs/Ms etc): \_\_\_\_\_

(a) Surname: \_\_\_\_\_

(b) Any former surname(s): \_\_\_\_\_

(c) Forename(s): \_\_\_\_\_

(d) Any former Forename(s): \_\_\_\_\_

(e) Date and reason for change of name (if applicable): \_\_\_\_\_

(f) Date and place of birth: \_\_\_\_\_

(g) Nationality: \_\_\_\_\_

(h) Former nationality and date of change (if applicable): \_\_\_\_\_

(i) Private address and date covering the past five years (mm/yy):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(j) Telephone number: \_\_\_\_\_

(k) Email address: \_\_\_\_\_

**2. EMPLOYMENT**

Please give details of all employment over the last ten years commencing with the present employment. Any gaps in employment over the period must be explained.

**Current Employment:**

Period of employment (mm/yy): \_\_\_\_\_

Job Title: \_\_\_\_\_

Description of position and responsibilities: \_\_\_\_\_  
\_\_\_\_\_

Name of employer: \_\_\_\_\_

Address of employer: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Nature of employer's business: \_\_\_\_\_

**Previous Employment:**

Period of employment (mm/yy): \_\_\_\_\_

Job Title: \_\_\_\_\_

Description of position and responsibilities: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of employer: \_\_\_\_\_

Address of employer: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Nature of employer's business: \_\_\_\_\_

Reason for leaving (if dismissal or termination by employer please provide further information):  
.....

\_\_\_\_\_

Period of employment (mm/yy): \_\_\_\_\_

Job Title: \_\_\_\_\_

Description of position and responsibilities: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name of employer: \_\_\_\_\_

Address of employer: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Nature of employer's business: \_\_\_\_\_

Reason for leaving (if dismissal or termination by employer please provide further information): \_\_\_\_\_  
\_\_\_\_\_

**3. COMPETENCE**

Please list all professional qualifications, training and experience including dates.

Professional Qualifications/Training/Experience	Date

#### 4. LICENCE AND OTHER AUTHORISATIONS

Please list any licence or authorisation or equivalent approvals (where held personally or as a representative) held including licence/registration number and name of authorising body.

Licence/Authorisations Held	Registration Number and Name of Authorising Body

#### 5. MEMBERSHIP

Please list any Memberships held in the last ten years.

Memberships	Date

## 6. INTEGRITY AND CHARACTER

In any case where the response to a question below is **YES**, full details should be given on a separate signed and dated sheet of paper (Where applicable please include court of conviction, offence, penalty imposed and date of conviction) and referenced to the appropriate question.

Have you ever been convicted of any offence involving fraud or other dishonesty, perjury or conspiracy to pervert the course of justice, violence, money laundering, terrorist financing, taxation or any other offence under legislation relating to banking or other financial services (whether or not under the laws of the Bailiwick that is not now spent? YES/NO

Are you aware of any pending cases against you involving the above offences? YES/NO

Are you currently or have you ever been named as a party to any litigation in respect of financial services? YES/NO

Are you currently or have you at any time in the last ten years been subject to en desastre, bankruptcy or analogous proceedings or are you aware of any such proceedings pending? YES/NO

Have you made any compromise arrangement with your creditors within the last ten years? YES/NO

Have you failed to satisfy any debt adjudged due and payable by you as a judgement-debtor under an order of court in the Channel Islands or elsewhere? YES/NO

Has any company in relation to which you were acting as a director been put into compulsory liquidation? YES/NO

Have you ever been censured, disciplined, had conditions imposed or criticised by any professional or regulatory body to which you belong or have belonged or made the subject of a court order at the instigation of any such body? YES/NO

Have you been revoked membership, barred from entry/refused admission to membership or required to resign by any such professional or regulatory body? YES/NO

Have you ever been the holder of a practising certificate or equivalent issued by a professional body and have surrendered it, had it revoked, withdrawn or conditions attached to it? YES/NO

Have you ever been disqualified from acting as a director of a company, investigated, subject to disciplinary proceedings, suspended from office, asked to resign or been removed or dismissed from any position, office or employment, including any fiduciary office or position of trust? YES/NO

Have you entered into a settlement (including individual voluntary arrangements) in the last ten years, whether or not on an ex-gratia basis, to avoid or bring to an end legal action being brought against you, or to avoid adverse publicity for you, in relation to any financial services, companies, consumer protection, market abuse, insider dealing or money laundering matter? YES/NO

Have you ever, in connection with the formation or management of anybody corporate, partnership, unincorporated association or other legal arrangement, been adjudged by a court to be civilly liable for any fraud, dishonesty, or other misconduct by you towards such a body or towards any member or creditors of such a body? YES/NO



**DECLARATION**

I confirm that the information supplied is complete and correct to the best of my knowledge and belief at the time of submission and that there are no other facts of which the Board of the Authority should be aware.

I undertake to inform the Listing and Membership Committee, without delay, of any material changes to the information supplied in this form.

I understand and accept that the Authority may wish to make enquiries – both now and on a continuing basis – to satisfy itself as to my initial and continuing fitness and propriety. I understand that these enquiries will be in relation to the information I have provided in this Form and in relation to my fitness and propriety, in general.

Accordingly, I authorise any person, body or institution approached by the Authority, to provide such information as the Authority view may be relevant to its assessment of my initial and ongoing fitness and propriety.

**IMPORTANT NOTICE**

You should be aware, before signing this declaration, that it is a breach of the rules of the Authority, to provide the Board or the Listing and Membership Committee with information which is false, inaccurate or misleading in a material particular.

**Name (Block Capitals):** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_