

Questionnaire to be completed by each Director of a Listing Sponsor or Trading Member and any Person holding the role of Chief Financial Officer, Chief Compliance Officer or Chief Money Laundering Officer (by whatever name called).

Instead of this Questionnaire a copy of a Personal Questionnaire, or similar document, submitted to your regulator or supervisor for countering financial crime may be provided.

Additional information may be provided on supplement pages as necessary.

TO	The Bermuda Stock Exchange
SENIOR EXECUTIVE INFORMATION	
(1) Surname and any former surname(s)	
(2) Forename(s) and any former forenames(s)	
(3) Date of birth	
(4) Place of birth (city, country)	
(5) Contact address	
(6) Nationality and former nationality, if any	
(7) Professional qualifications Please detail your professional qualifications, the body(ies) they were awarded by and the date.	
(8) Professional memberships Please detail your current professional memberships and any licence or authorisation or equivalent approvals (whether personally or as a representative) held	

(9) Current list of Directorships	
(10) Position at Listing Sponsor or Trading Member	
(11) Principle responsibilities	

PLEASE ANSWER THE FOLLOWING QUESTIONS: Please provide additional information where you answer yes to any of the following questions.	YES/NO
1. Have you ever applied for, and been denied, a licence or other authorisation to carry on the business of providing a financial service to the public or had such a licence suspended, withdrawn or revoked, in any jurisdiction?	
2. Have you, in any jurisdiction, been refused admission to or renewal of membership of any professional body, trade society, institution or association, or stock exchange or been censured or disciplined or had membership withdrawn by any such body to which you belong or belonged or have you held a practising certificate subject to conditions?	
3. Have you ever been dismissed for misconduct, or barred, from any position of employment or from any professional or other occupation in any jurisdiction?	
4. Have you, or has any organisation with which you are or have been associated ever been censured, penalised, disciplined, warned as to future conduct, publicly criticised or been the subject of a court order or official investigation in any jurisdiction?	

<p>PLEASE ANSWER THE FOLLOWING QUESTIONS: Please provide additional information where you answer yes to any of the following questions.</p>	<p>YES/NO</p>
<p>5. Have you, or has any organisation with which you are or have been associated ever failed to satisfy your/its debts in any jurisdiction?</p>	
<p>6. Have you, or has any organisation with which you are or have been associated ever been the subject of bankruptcy/ insolvency/receivership or compulsory liquidation proceedings in any jurisdiction?</p>	
<p>7. Have you, or has any organisation with which you are or have been associated ever been convicted of a civil or criminal offence involving embezzlement, misfeasance, financial crime, fraud, theft or other dishonesty or a violation of any corporate, corporate securities statute or regulation in any jurisdiction?</p>	
<p>8. Have you entered into a settlement (including individual voluntary arrangements) in the last 10 years in relation to any financial services, companies, consumer protection, market abuse, insider dealing or money laundering matter?</p>	
<p>9. Has any court or regulatory agency ever enjoined you, or made a finding that you were guilty of a violation of any statute or regulation, in connection with any investment-related activity in any jurisdiction?</p>	
<p>10. Have you ever been disqualified by a court from acting as a director of a company, or from acting in the management or conduct of the affairs of any company in any jurisdiction?</p>	
<p>11. Has any regulatory body or agency ever made a finding that you had made a false statement or failed to disclose material information or that you had been dishonest, unfair or unethical in any jurisdiction?</p>	
<p>12. Are there any unsatisfied judgments or liens against you in any jurisdiction?</p>	
<p>13. Are you presently the subject of any complaint, investigation or proceeding with respect to any of the matters referred to above in any jurisdiction?</p>	
<p>14. Is there any other information material to your position at the member, the omission of which might affect the significance of the information contained herein?</p>	

EMPLOYMENT HISTORY	Please attach
Please provide your resume or other document showing details of your previous employment and work experience including dates of employment and a description of your position and responsibilities	
IDENTIFICATION DOCUMENTS	
Please provide a certified copy of the following documents: <ul style="list-style-type: none"> • In date passport or driver's licence or other Government photo identification document • Utility bill (<6 months old) 	

DECLARATION	
I (state your name),	
Being a Senior Executive or Director for the following Bermuda Stock Exchange member (state the member's name):	
declare that to the best of my knowledge and belief (having taken all reasonable care to ensure that such is the case) that the answers to all the above questions are true and complete. I also hereby give my authority (save where expressly provided otherwise) to the Exchange to disclose any of the foregoing particulars given by me to such regulatory bodies as the Exchange may, in its absolute discretion think fit.	
Privacy Notice The personal data collected by this form is used only for the legitimate business interests of the Exchange in accordance with the Exchange's Privacy Statement . By signing below, I confirm that I have read and understood my rights as set forth in the Exchange's Privacy Statement and that I undertake to advise the Exchange as soon as possible if any change to my details or circumstances occurs, which causes the information contained within this document to be inaccurate.	
DATE	
NAME	
SIGNATURE	