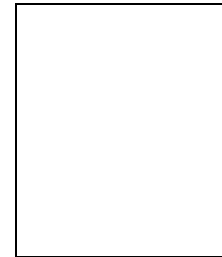


NON-BANK FINANCIAL INSTITUTIONS REGULATORY AUTHORITY
("NBFIRA")



Two Passport Size Photographs

PERSONAL QUESTIONNAIRE

To be completed and signed by the prospective Directors, Chief Executive Officers and Managers of applicant for the following entities, Collective Investment Schemes/Trustees/Custodians/Insurances/IFSC Companies/Micro Lenders.

(This questionnaire should be submitted together with the application form to the Indicate Department e.g. Capital Markets Department)

Name of financial institution in connection with which this form is being completed:

A. PERSONAL DETAILS

1. Individual's Full Name:
- a. Have you ever had your name changed? () Yes () No
If 'Yes', give the reason for the change
.....
.....
- b. Other names used at any time
-
2. Date and Place of Birth:
3. Postal Address:.....
4. Telephone and Fax Numbers.....
5. Residential Contact Address:.....
6. Nationality:

7. Gender:.....
- (a) Please provide details of both professional and educational qualifications with dates:.....
.....
.....
- (b) Other relevant training or experience:.....
.....
.....
.....
8. Please provide details of current membership(s) of relevant professional bodies, year of admission and the body's full particulars:.....
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.....
9. Please state in what capacity you are completing this questionnaire, i.e. as a Director, Chief Executive Officer, Manager or agent of the applicant Collective Investment Scheme/Trustee/Custodian/Micro Lender. Please also describe the specific duties and responsibilities that you will assume, indicating whether you will be acting on the directions or instructions of any other person(s). If you are completing this form in the capacity of a director, please indicate whether you will assume executive responsibilities for the management of the bank's business or whether your appointment is of a non-executive nature.
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.....
10. Please provide details of any other entities of which you are a director, shareholder, or manager and the countries in which these are incorporated.
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.....

B. EMPLOYMENT HISTORY

Please provide details of your employment history (last 10 years, most recent first)

- (i) (a) Name of Employer:

.....
(b) Address of Employer:
.....

.....
(c) Telephone and Facsimile Number of Employer:
.....

(d) Nature of Employer's Business:
.....

(e) Period of Employment:
.....

(f) Position Held and Responsibilities:
.....

(g) Reason for Leaving:
.....
.....

(ii) (a) Name of Employer:
.....

(b) Address of Employer:
.....

.....
(c) Telephone and Facsimile Number of Employer:
.....

(d) Nature of Employer's Business:
.....

(e) Period of Employment:
.....

(f) Position Held and Responsibilities:
.....
.....

(g) Reason for Leaving:

.....
.....

(iii) (a) Name of Employer:

.....

(b) Address of Employer:

.....

(c) Telephone and Facsimile Number of Employer:

.....

(d) Nature of Employer's Business:

.....

(e) Period of Employment:

.....

(f) Position Held and Responsibilities:

.....

.....

(g) Reason for Leaving:

Note: If the space provided is insufficient, please attach a separate sheet of paper.

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C. REPUTATION AND CHARACTER

Please answer the following questions, giving full particulars on a separate paper in case a question is answered in the affirmative.

1. Have you ever been convicted in any country of any offence (other than minor motoring offences)? YES/NO
2. Have any legal proceedings been brought against you in relation to the provision of banking or financial or insurance services in any country? YES/NO
3. Are you the subject of any criminal or civil proceedings, not yet determined, in any country? YES/NO

4. Have you ever been criticised, censured, suspended, fined or been the subject of any other disciplinary action by any banking supervisory or financial regulatory authority, professional body, government agency or stock exchange? YES/NO
5. Have you at any time in the previous ten years been refused or had withdrawn any authorisation, licence or membership by any such body, organisation, association or authority as in 4 above, to carry on banking, investment or insurance business? YES/NO
6. Have you resigned from such body, organisation, association or authority, as in 4 above, at any time during the last ten years or decided after making your application, not to proceed with it? YES/NO
7. Have you ever been the subject of an internal disciplinary enquiry at any institution you worked for, or have been a member either as a director, manager, employee, etc.? YES/NO
8. Have you ever knowingly been the subject of an investigation into allegations of misconduct or malpractice in any country in connection with the provision of banking or investment or insurance services? YES/NO
9. Have you ever been disqualified by a court of law from acting as a director of a bank or from acting in the management or conduct of the affairs of any bank or any other company, partnership or unincorporated association? YES/NO
10. Have you ever been involved with the management of a bank or any other enterprise, which has been wound up? YES/NO
11. Or been convicted of any criminal offence? YES/NO
12. Has any bank or financial institution of which you were at the time a director or in whose management you were at the time involved, been put into compulsory liquidation, had a receiver or administrator appointed or entered into any arrangements with its creditors? YES/NO
13. Have you failed to satisfy any debt adjudged, due and payable by you as a judgement debtor under an order of a court of law in any country or made any compromise arrangement with your creditors within the last ten years? YES/NO
14. Has any court in any country declared you bankrupt or have you ever entered into a composition with your creditors? YES/NO
15. Have you ever been convicted or had a sentence imposed or suspended or had pronouncement of a sentence suspended or pardoned for conviction of or pleaded guilty *on nolo contendere* to any information or indictment charging any felony, or charging misdemeanor involving embezzlement, theft, larceny. Or mail fraud, or charging a violation of any corporate securities statute, or have you been the subject of any disciplinary proceedings of any governmental or state regulatory agency? YES /NO

If 'YES' give details

.....
.....
.....

- 16. Have you been dismissed from any office or employment or barred from entry to any profession or occupation? YES/NO
- 17. In carrying out your duties, will you be acting on the directions or instructions of any other person(s) or within certain parameters? If so, please give full particulars. YES/NO

D. OTHER RELEVANT INFORMATION

Please state any other information which you may wish to disclose.

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.....

(If the space provided is insufficient, please attach a separate sheet of paper)

E. SOURCES OF INFORMATION

Please note that the Non-Bank Financial Institutions Regulatory Authority may approach all former employers listed under B above. In addition, you are requested to provide below other sources of information such as business associates, banks, banking supervisory and financial regulatory authorities, etc., which may be approached directly by the Non-Bank Financial Institutions Regulatory Authority, for the purpose of obtaining appropriate references.

Full particulars including name, address and telephone facsimile number of the above sources as well as a contact name, should be provided below:

(a) Source of Reference:

Relationship with Applicant:

Contact name:

(if the source of reference is a company)

Occupation:.....
(if the source of reference is a natural person)

Address:.....
.....

Telephone and Facsimile No:.....

(b) Source of reference:.....

Relationship with applicant:.....

Contact name:.....
(if the source of reference is a company)

Occupation:.....
(if the source of reference is a natural person)

Address:.....
.....

Telephone and Facsimile No:.....

(c) Source of reference:.....

Relationship with Applicant:.....

Contact name:.....
(if the source of reference is a company)

Occupation:.....
(if the source of reference is a natural person)

Address:.....
.....

Telephone and Facsimile No:.....

(d) Source of reference:.....

Relationship with applicant:.....

Contact name:.....
(if the source of reference is a company)

Occupation:.....
(if the source of reference is a natural person)

Address:.....
.....

Telephone and Facsimile No:.....

F. DECLARATION

Dated and signed this _____ day of _____

I hereby certify under penalty of perjury that I am acting on my own behalf and that the foregoing statements are true and correct to the best of my knowledge and belief.

I also hereby authorize the Regulatory authority 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 purpose 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.

(Signature of Applicant)

State of _____

Country of _____

Personally appeared before me the above named

Being duly sworn deposes and says that he or she executed the above instrument and that the statements and answers contained therein are true and correct to the best of his or her knowledge and belief.

Subscribed and sworn to (affirmed) before me this _____ day of _____ 201_____

(Notary Public for documents to be sent overseas)

Commissioner of Oaths for documents to be used in Botswana only)

(Seal)

My Commission expires _____

NOTE:

A controller includes:

- (i) *Any person who is entitled to exercise control of 5% or more of the voting power over the institution or over another company of which is a subsidiary;*
- (ii) *Any person, whether a shareholder or not, in accordance with whose directions or instructions the directors of the organization, or of another company of which it is a subsidiary, are accustomed to act.*

Where a controller is a body corporate the Regulatory authority will look through that body to the ultimate controller from whom the above information will be sought.