

**PERSONAL QUESTIONNAIRE AND UNDERTAKING TO BE COMPLETED BY EACH
UBO, SHAREHOLDER, DIRECTOR, MANAGER OR ANY OTHER KEY PERSONS**

1. **Name of the Principal Licensee**

2. **Name of the person completing the questionnaire**

3. **Previous Name or any other names known by:**

4. **Position held: *(UBO, beneficial shareholder/ director/Manager/Other Key positions)***

5. **Nationality and how acquired. *(e.g. by birth or naturalized)***

6. **If the shareholder is a corporate body:**
 - **Date and place of incorporation:**

 - **Ultimate beneficial owners:**

If the shareholder is an individual:

 - **Date and place of birth:**

 - **Number of shares held and whether fully paid:**

 - **Type of voting rights attached to the shares:**

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7. **Residential address or registered address (if a corporate body)** *(include street no, phone, fax, email contacts)*
8. **Business address and telephone no.**
9. **Have you ever been a shareholder, director or officer of any company that has been wound up or made any compromise agreement with its creditors?**
Yes No
10. **Have you previously been involved, actively or otherwise, in any company in the securities industry?**
Yes No
11. **Have you ever filed for bankruptcy or been bankrupt?**
Yes No
12. **Have there been or are there any cease-and-desist orders, civil or criminal actions against you, or any company of which you have been a shareholder, director or officer, for fraud, negligence, misconduct or malpractice**
Yes No
13. **Are you a shareholder, director or officer of any other company?**
Yes No

Additional information required from a proposed director or officer:

- **Position held and area of responsibility.**

- **Resume including any securities related experience.**

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I certify that the information given in this questionnaire is true and correct and that I am fully aware of the business plan submitted with the license application and the proposed activities of the applicant.

I am aware of the Financial Dealers Licensing Act [CAP 70], the Rules and guidance notes.

Signature

Date

Name in full

Designation

Witnessed by:

Name:

Address:

Signature

Date

Note: Attention is drawn to section 16 of the Financial Dealers Licensing Act, CAP 70, which provides as follows:

"16 Any person who, in furnishing any information for any of the purposes of this Act or rules or orders made thereunder, makes any statement which, to his knowledge, is false in a material particular, shall be guilty of an offence and liable on conviction to a fine not exceeding VT 100,000 or to imprisonment for a term not exceeding 6 months, or to both such fine and imprisonment"

Please return this completed form with relevant supporting documents to:

**The Commissioner
Vanuatu Financial Services Commission
Port Vila
Vanuatu**