

## Notes on Completion

Every Director, Compliance Officer and Trader of a Member must either complete this “Personal Questionnaire” or submit a copy of any such questionnaire provided to a regulatory body recognised by The International Stock Exchange Authority Limited (the “Authority”) along with a completed “[Supplement to a personal questionnaire](#)” form.

Either form must be submitted to the Authority within 10 business days of the appointment of the Director, Compliance Officer or Trader. These should be sent only by email to: [membership@tisegroup.com](mailto:membership@tisegroup.com)

Please answer all questions and do not leave any section blank.

If insufficient space is provided for completion of any paragraph, additional information may be provided on the [supplement pages](#). Please select which section and provide which question the additional information relates to at the top of each supplement page.

# 1. Personal Details

To: The International Stock Exchange Authority Limited (the "Authority")

Surname	<input type="text"/>
Forename(s)	<input type="text"/>
Former surname(s)	<input type="text"/>
Former forename(s)	<input type="text"/>
Alias (if any)	<input type="text"/>
Date of birth	<input type="text"/>
Place of birth [country and town]	<input type="text"/>
Residential address [covering last 5 years]	<input type="text"/>
Nationality	<input type="text"/>
Former nationality, if any	<input type="text"/>
Position(s) at Member	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Telephone number:	<input type="text"/>
Email address:	<input type="text"/>

## 2. Employment History

Give details of your employment over the last ten years. Any gaps in employment over the period must be explained.

### Current employment

Name of employer:	<input type="text"/>
Address of employer:	<input type="text"/>
Nature of employer's business:	<input type="text"/>
Period of employment (mm/yy):	<input type="text"/>
Job title:	<input type="text"/>
Description of position and responsibilities:	<input type="text"/>

## 2. Employment History continued

### Previous employment

Name of employer:

Address of employer:

Nature of employer's business:

Period of employment (mm/yy):

Job title:

Description of position and responsibilities:

Reason for leaving *[if dismissal or termination by employer please provide further information]:*

## 2. Employment History continued

### Previous employment

Name of employer:

Address of employer:

Nature of employer's business:

Period of employment (mm/yy):

Job title:

Description of position and responsibilities:

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

## 2. Employment History continued

### Previous employment

Name of employer:	
Address of employer:	
Nature of employer's business:	
Period of employment (mm/yy):	
Job title:	
Description of position and responsibilities:	
Reason for leaving <i>[if dismissal or termination by employer please provide further information]:</i>	

## 2. Employment History continued

**Previous employment**

Name of employer:

Address of employer:

Nature of employer's business:

Period of employment (mm/yy):

Job title:

Description of position and responsibilities:

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

### 3. Professional Competence

3.1 **Professional Qualifications**

State the names or attach a list of all companies, of which you are currently a director.

3.2 **Professional Memberships**

Current professional memberships.

3.3 **Training and Experience**

Relevant training and experience (including dates) for the appointed role at the Member.

3.4 **Licences, Authorisations or Equivalent approvals**

List any licence or authorisation or equivalent approvals (whether personally or as a representative) held including licence/registration number/dates and name of authorising body.



## 4. Fitness and Propriety

4.1. Have you been declared bankrupt, adjudged bankrupt or had your estate sequestrated, or had a preliminary vesting order declared against you? Yes  No

*If so, give full particulars [e.g. the court by which you were adjudged bankrupt and, if discharged, the date and conditions on which you were granted your discharge.]*

4.2. Have you been a party to a deed of arrangement or made any other form of composition with your creditors? Yes  No

*If so, give full particulars.*

4.3. Are there any unsatisfied judgements outstanding against you? Yes  No

*If so, give full particulars.*

4.4. To the best of your knowledge and belief, has any company been put into liquidation [otherwise than by a members' voluntary winding up when the company was solvent] or had a receiver appointed during the period when you were a director or the following 12 months? Yes  No

*If so, in each case state the company's name, nature of business, date of commencement of winding up or receivership and the amount involved together with an indication of the outcome or current position*

## 4. Fitness and Propriety

- 4.5 Have you been convicted of any criminal offence involving financial crime, fraud or dishonesty?

Yes

No

*If so, state the court by which you were convicted, the date of conviction and give full particulars of any court judgments issued, the offence and the penalty imposed. Consideration will be given to any applicable rehabilitation of offenders legislation which provides circumstances which, if present, will result in certain convictions being considered as spent.*

- 4.6 Have you, in connection with the formation or management of any company, partnership or unincorporated institution been adjudged by a Court civilly liable for any fraud, misfeasance or other misconduct by you towards such a body or company or its members?

Yes

No

*If so, give full particulars.*

- 4.7 Have you been refused admission to membership of any professional body or been censured or disciplined by any such body to which you belong or belonged or have you held a practising certificate subject to any unusual conditions?

Yes

No

*If so, give full particulars.*

## 4. Fitness and Propriety

4.8 Have you been disqualified from acting as a director of a company, or from acting in the management or conduct of the affairs of any company, partnership, or unincorporated institution? Yes  No

*If so, give full particulars.*

4.9 To the best of your knowledge and belief, has any company, partnership or unincorporated institution been:

- i. investigated by an inspector appointed under companies legislation, or other securities enactments or by any other regulatory body; or
- ii. required to produce books and records to a government or regulatory inspector; or
- iii. censured and/or fined;

during the period in which you were responsible for the management or conduct of the affairs of that company, partnership or unincorporated institution or during the following 12 months?

*[If the investigation is or was confidential, the question may be answered simply "yes". In such cases the Authority may seek additional information directly and in confidence from you.]*

4.10 Is there any ongoing litigation against you and are you currently involved in any proceedings issued by you? Yes  No

*If so, give full particulars.*

## 4. Fitness and Propriety continued

4.11 Have you ever been removed or dismissed from any position, office [including any fiduciary office] or position of trust? Yes  No

*If so, give full particulars.*

4.12. 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? Yes  No

*If so, give full particulars.*

4.13 Have you ever, in connection with the formation or management of any company, partnership or unincorporated institution, been adjudged by a court to be civilly liable for any fraud, dishonesty, or other misconduct towards such a body or any of its members or creditors? Yes  No

*If so, give full particulars.*

4.14 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? Yes  No

*If so, give full particulars.*

## 5. 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 material to the assessment of my fitness and propriety.

I undertake to inform the Authority, without delay, of any material changes to the information supplied in this form. I hereby authorise the Authority to disclose any information provided in this declaration to such other bodies as the Authority may, in its absolute discretion, deem necessary in accordance with its Privacy Statement which I have read and understood.

Name (block capitals):

Signed:

Date:

TISE is a registered trademark of The International Stock Exchange Group Limited [Guernsey registered company number 57524]. It wholly owns The International Stock Exchange Authority Limited [Guernsey registered company number 57527], which is licensed by the Guernsey Financial Services Commission to operate an investment exchange under the Protection of Investors [Bailiwick of Guernsey] Law, 1987, as amended.

## Supplement Page

Supplement to:

Question:

## Supplement Page

Supplement to:

Question:

**Personal Questionnaire**



TISE is a registered trademark of The International Stock Exchange Group Limited (Guernsey registered company number 57524). It wholly owns The International Stock Exchange Authority Limited (Guernsey registered company number 57527), which is licensed by the Guernsey Financial Services Commission to operate an investment exchange under the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended.