

## Appendix III

# Directors' Declaration

### 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 a body-corporate wherever incorporated.
4. Every director of the issuer must provide the Authority with a signed declaration only once, and thereafter notify the Authority of any changes by submitting an Appendix VI supplementary form.

To: Listing and Membership Committee  
The International Stock Exchange Authority Limited (the "Authority")

### 1. State:

- |   |                      |
|---|----------------------|
| <b>i. present surname and any former surname(s)</b>   | <input type="text"/> |
| <b>ii. present forename(s) and any former forename(s)</b>   | <input type="text"/> |
| <b>iii. alias (if any)</b>  | <input type="text"/> |
| <b>iv. date of birth</b>  | <input type="text"/> |
| <b>v. place of birth</b>  | <input type="text"/> |
| <b>vi. residential address</b>  | <input type="text"/> |
| <b>vii. nationality and former nationality, if any</b>  | <input type="text"/> |
| <b>viii. current professional qualifications (and awarding body) which are relevant to the position, if any</b> | <input type="text"/> |

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## Directors' Declaration **continued**

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

3. **Have you been declared bankrupt, adjudged bankrupt or had your estate sequestrated, or had a preliminary vesting order declared against you?**

Yes

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No

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

date

4. **Have you been a party to a deed of arrangement or made any other form of composition with your creditors?**

Yes

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No

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If so, give full particulars.

5. **Are there any unsatisfied judgements outstanding against you?**

Yes

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No

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If so, give full particulars.

## Appendix III

# Directors' Declaration continued

- 6. 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

- 7. 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.

- 8. 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.

- 9. 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.

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# Directors' Declaration continued

- 10. 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

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No

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If so, give full particulars.

- 11. To the best of your knowledge and belief, has any company, partnership or unincorporated institution been:**

Yes

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No

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- 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.]

- 12. Is there any ongoing litigation against you and are you currently involved in any proceedings issued by you?**

Yes

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No

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If so, give full particulars.

## Appendix III

**Directors' Declaration** continued

- 13. Have you ever been removed or dismissed from any position, office (including any fiduciary office) or position of trust?**

Yes

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No

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If so, give full particulars.

- 14. 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

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No

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If so, give full particulars.

- 15. 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

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No

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If so, give full particulars.

- 16. Is there any other information material to your directorship of the company, the omission of which might affect the import of the information contained herein?**

Yes

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No

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If so, give full particulars.

## Appendix III

# Directors' Declaration continued

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 hereby authorise the Authority to disclose any information provided in this declaration to the Sponsor of any issuer of which I am a director and 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.

**Signed:**

**Date:**