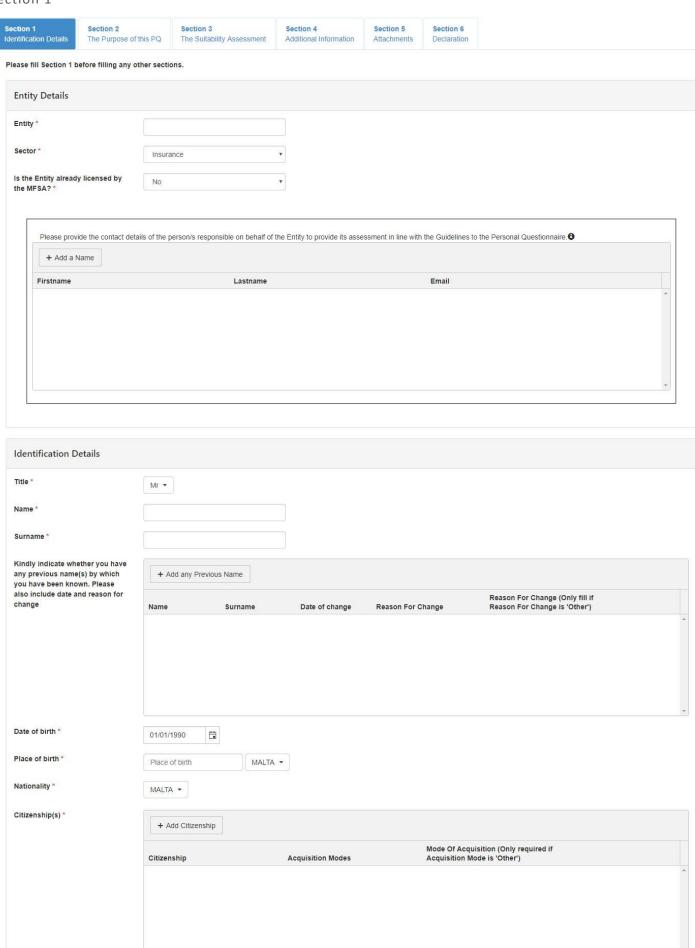
# **MFSA**

MALTA FINANCIAL SERVICES AUTHORITY

# TEMPLATE OF THE PERSONAL QUESTIONNAIRE

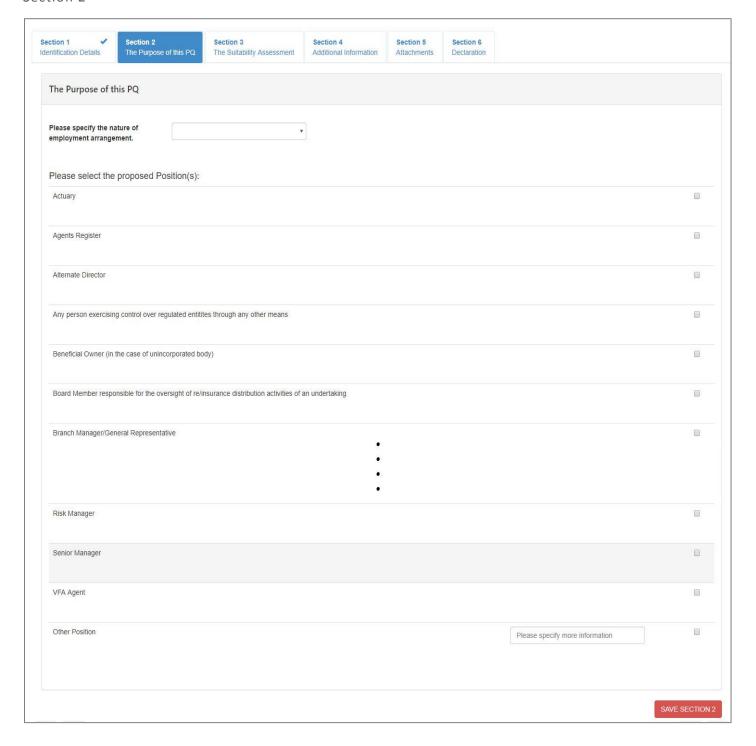
#### Section 1



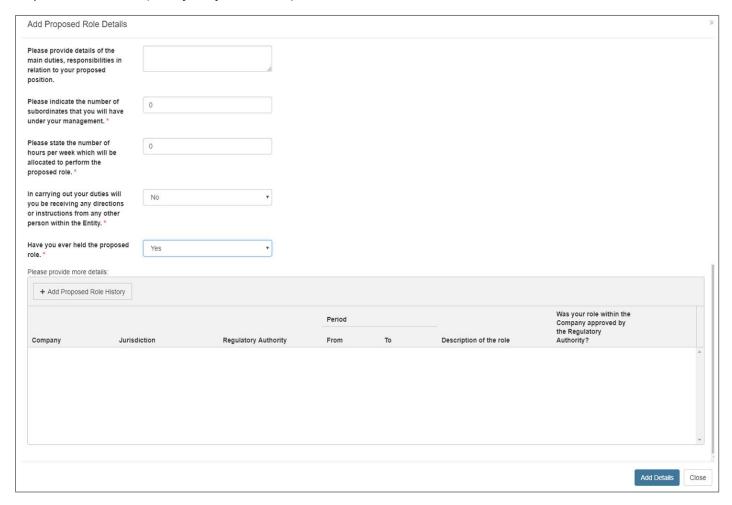
Passport(s)/ID Details *	+ Add ID/Passpo	ort Details					
	Document type	Passport/ID Numb	er Passport Country	Expir	y date		
	ID Card	000068M	MALTA	01/06	/2029		,
Contact No. (including code) *	MALTA (+356)	*					
Personal Email address							
Current residential add	+ Add Address [	Details					
	Address Line 1	Address Lin	e 2 City	Postcode	Country	Start date of residence at to address	his
Previous address(es) de last ten (10) years	+ Add Previous	Address Details					
	Address Line 1	Address Line 2	City	Postcode Cou	resi	rt date of End date idence at this residenc address	
	ing details regarding your current ban blete Appendix 1 to this PQ FOR EAC	H BANKER, which authorises					
	Bank	Address Line 1 A	ddress Line 2 Postco	de City	Bank Country	Bank Sort Code Contact p	erson Contact No
	4	Action Line 1	, 00000	o.,y	Julia Geallay	out of marry	one of the other o
Former bank(s) in the p ten years	+ Add a Former I	Bank					
	Bank	Address Line 1 Ad	ddress Line 2 Postcode	City		Bank Sort Code Contact perso	on Contact No
							A
							*

SAVE SECTION 1

#### Section 2



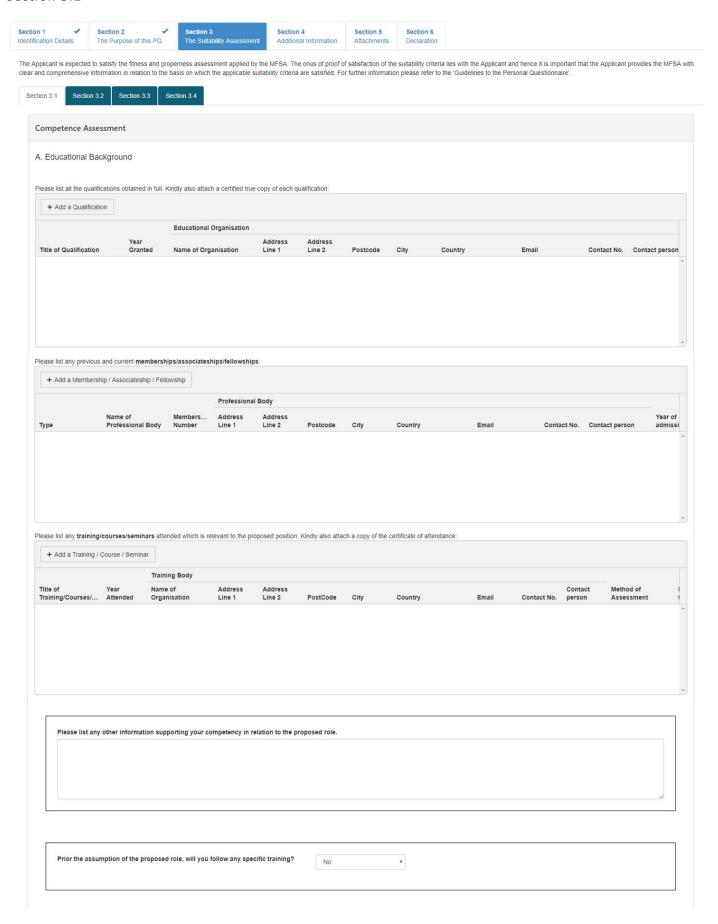
# Proposed Role Details (to be filled for each role)



### In the case the proposed position is that of Alternate Director, the below needs to be completed:

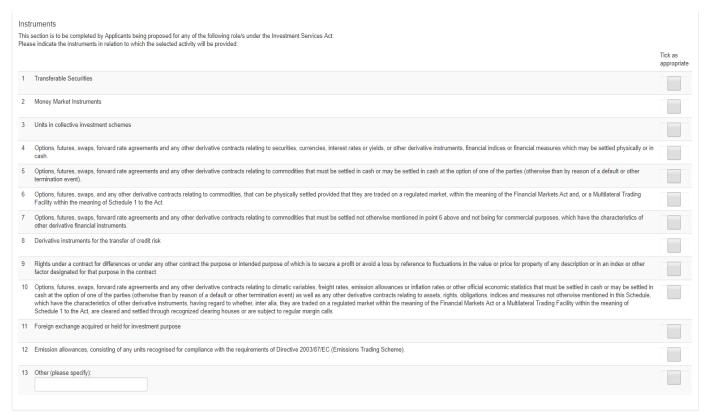


#### Section 3.1



- Add Emplo	oyment History									
ployer Deta	ills									
me	Is Company still in operation?	Address Line 1	Address Line 2	PostCode	City	Country	Email	Contact No	Nature of business	Regi
Please e	explain any periods of	unemployme	nt exceeding th	ree months with	nin the last ter	n years				
Please e.	explain any periods of	unemployme	nt exceeding th	ree months witi	nin the last ter	n years				
Please e	explain any periods of	unemployme	nt exceeding th	ree months with	nin the last ter	n years				
Please e	explain any periods of	unemployme	nt exceeding th	ree months with	nin the last ter	n years				h
Please e	explain any periods of	unemployme	nt exceeding th	ree months with	nin the last ter	n years				do.
Please e	explain any periods of	unemployme	nt exceeding th	ree months with	nin the last ter	n years				II.
							factors which you deem relev	ant:		
							factors which you deem relev	ant:		<i>b</i>
							factors which you deem relev	ant:		
							factors which you deem relev	ant:		
							factors which you deem relev	ant:		

The Instruments section will be required in Section 3.1 if the Entity Sector is Securities and the Positions selected are either of the following; Committee Member, Portfolio manager or Investment Advisor:



# The General Banking Experience section will be required if the Entity Sector is either Banking or Financial Institutions:

General Banking Experience This section is to be completed by Applicants being proposed as Directors or proposed to undertake any Execute role within credit or financial institutions: General Banking experience	Assessment (high, medium-high, medium-low, low)
Financial markets	Low
Regulatory framework and requirements	Low
Strategic planning and understanding of a credit institution's business strategy or business plan and accomplishment thereof	Low
Risk management (identifying, assessing, monitoring, controlling and mitigating the main types of risk of a credit institution, including the responsibilities of the member)	Low
Assessing the effectiveness of a credit institution's arrangements, creating effective governance, oversight and controls	Low
Interpreting a credit institution's financial information, identifying key issues based on this information and appropriate controls and measures.	Low

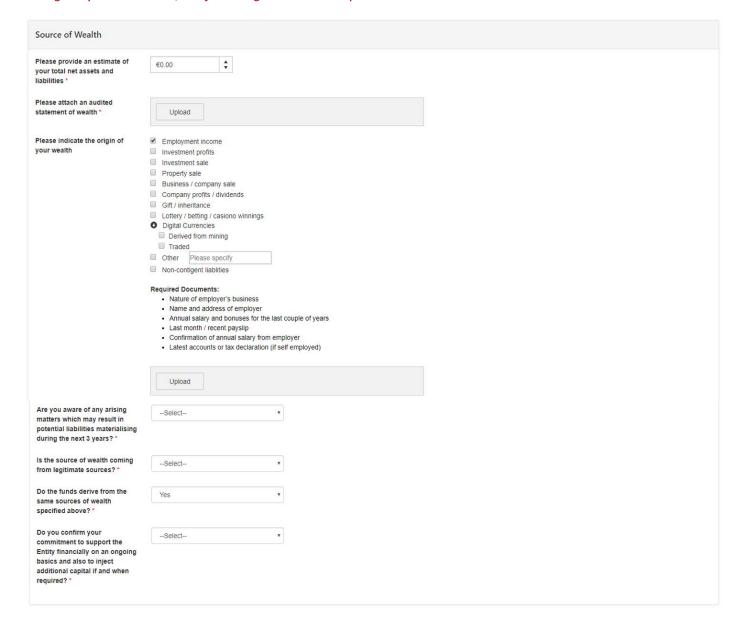
# Section 3.2

Section 1 Identification Deta	ails	Section 2 The Purpose of this P	Section 3  The Suitability	Assessment	Section 4 Additional Information	Section 5 Attachments	Section 6 Declaration			
								with the Applicant and hence it Guidelines to the Personal Que	t is important that the Applicant stionnaire'.	provides the MFSA wi
Section 3.1 🗸	Sec	Section 3.3	Section 3.4							
Reputation	on									
									ed body as board member, Cont al Questionnaire are provided	
ir	ntegrity		nd. In this regard, do yo					be honest, ethical, act with s about your ability to perfore	mSelect	•
Integrity /	Assess	ement								
			d relevant disclosures are and may severely prejud			ant is reminded that	the provision of infor	mation or statements which s/he	e knows to be inaccurate, false	or misleading in any
a			ction, been dismissed o nt, whether or not remun		n and did resign from ar	ny profession, voc	ation, office or emp	loyment, or from any position	ofSelect	•
b			tion, authorisation, men onal body or association			ed, withdrawn, ter	rminated or expelled	d by a Regulatory Authority or	Select	•
c	. Have y	ou ever been barred fr	om entry to any profess	sion or occupati	ion?*				Select	•
d					f or publicly criticised by al institution or professi			gulatory authority, public	Select	•
e	e. Have y	ou ever been subject t	to regulatory disc <mark>i</mark> plinar	y measures/acti	ions (including disqualif	ication as a comp	any director, discha	rge from a position of trust)?	Select	•
f.	. Have y	ou ever had a licence o	of authorisation which w	vas revoked, res	stricted or suspended to	carry on a busine	ss activity for which	n the licence was issued? *	Select	•
g	or perr		illty of conducting or be	en investigated	for possible conduct of	any licensable ac	tivities without the	necessary licence, authorisat	Select	*
h					previous) or are you awa resigned whilst under in		hat might be taken a	igainst you by a governmenta	al,Select	•
i.	. Have ar	ny of the proceedings	referred to in this sectio	n been settled o	out of court or within the	framework of alte	ernative dispute res	olution? *	Select	•

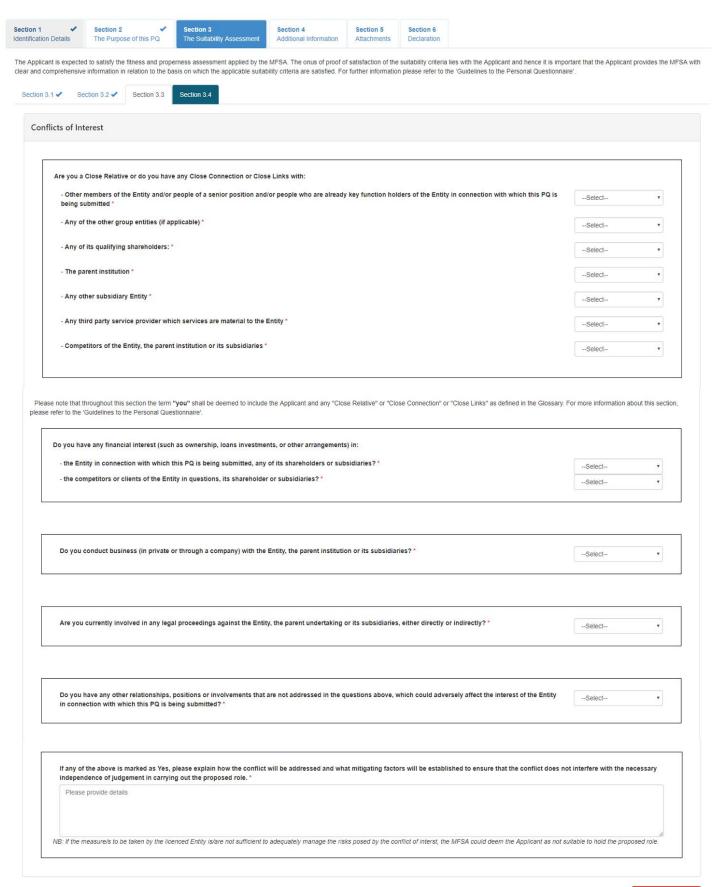
	Select	•
k. Have you at any time been found in breach of regulations or convicted of any offence, criminal or otherwise, by any Tribunal or court? (including convictions under appeal, any formal notification of investigation or committal for trial) *  NB: breaches of traffic regulations punishable by fines lower than €120 need not be reported.	Select	•
I. Have you been or are you the subject of any criminal/civil investigations and/or proceedings and/or litigation?	Select	,
m. Have you ever been adjudged by a court liable for any fraud, forgery or other misconduct by you towards any company in which you are/were involved? *	Ostrat	
	Select	
n. Have you ever been involved in an entity which was required to compulsory wind up; or had an administrator, receiver or liquidator appointed; or made a compromise or similar arrangement with creditors; or ceased trading in circumstances where the creditors did not receive (or have not yet received) full settlement of their claims? *	Select	,
Of their Galms ?		
o. Were you ever subject to any specific deliberations regarding any aspects of your reputation? *	Select	*
p. Are there any contractual impediments or restrictions through any previous occupation or employment which preclude you in any way from taking up the proposed position?	Select	•
q. Do you confirm your awareness of your responsibilities arising from the legislation, regulations, codes of practice, guidance notes, guidelines and any other rules or directives, which are applicable to your proposed position(s) and confirm your intention to ensure the Entity to which you are to perform a pre-approved control function will be operated in compliance with them?	Select	*
r. Are you a Politically Exposed Person?		
1. Are you a connically Exposed reison?	Select	*
Soundness		
Soundness  to you have any previous or pending bankruptcy, insolvency or similar proceedings?	Select	
	Select	
to you have any previous or pending bankruptcy, insolvency or similar proceedings? •		
To you have any previous or pending bankruptcy, insolvency or similar proceedings? •  We you ever:  Failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a Court of Tribunal? •	Select	•
To you have any previous or pending bankruptcy, insolvency or similar proceedings? •  //e you ever:  failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a Court of Tribunal? •  been included in a list of unreliable debtors? •	Select	*
To you have any previous or pending bankruptcy, insolvency or similar proceedings? •  We you ever:  Failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a Court of Tribunal? •	Select	***
to you have any previous or pending bankruptcy, insolvency or similar proceedings? •  The you ever:  It failed to satisfy any debt adjudged due and payable by you as a judgement debtor under an order of a Court of Tribunal? •  The peen included in a list of unreliable debtors? •  The peen included in a list of unreliable debtors? •	Select Select	¥

SAVE SECTION 3.2

In the case of 'Qualifying shareholder', 'Beneficial Owners' or 'Any Person exercising control over regulated entities through any other means', the following will also be required in Section 3.2

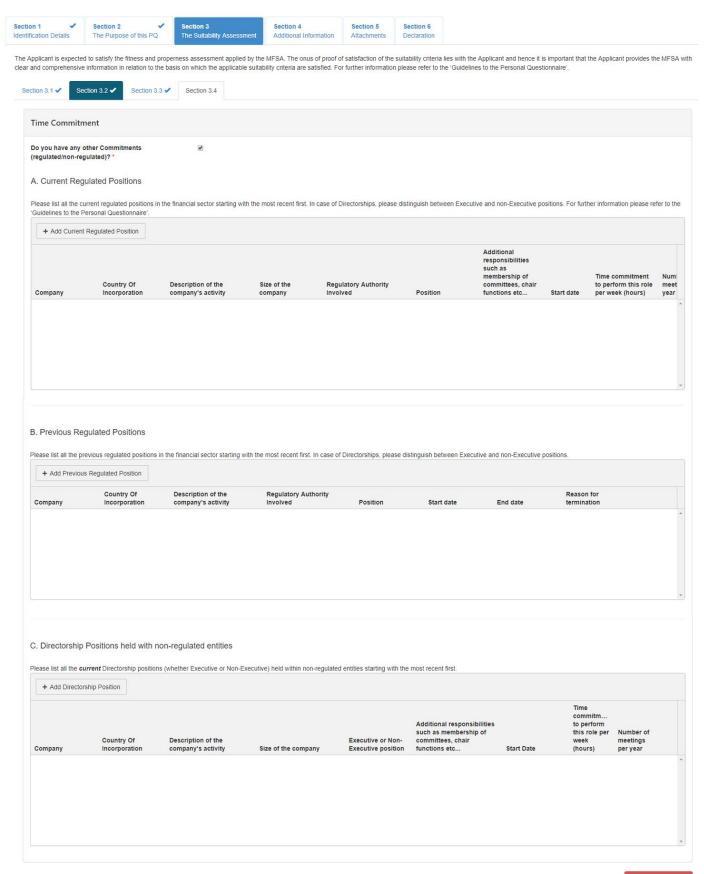


#### Section 3.3



SAVE SECTION 3.3

### Section 3.4 (Not required if the proposed position is that of Qualifying Shareholder or Beneficial Owner)

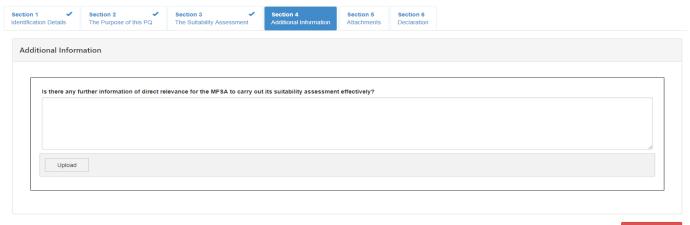


SAVE SECTION 3.4

### If the Sector is Banking and the Proposed Position is 'Director', the following section is also required:

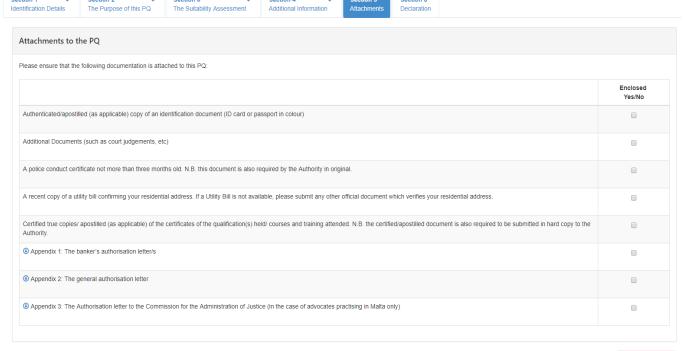
D. Summary of directorship positions held									
This section is to be completed by Applicant being proposed under the Banking Act 1994 .									
Total number of executive directorships if privileged counting and exeptions (no counting) are applied	0								
Total number of non-executive directorship if privileged counting and exeptions (no counting) are applied	0								
If privileged counting applies please provide details of whether any synergies exist between companies, such that there is a legitimate overlap in terms of time commitment within those companies									
Total hours per week of time committed to all directorships outside the function for which submission is made	0.00								
Total days per year of time committed to all directorships outside the function for which submission is made	0								

#### Section 4



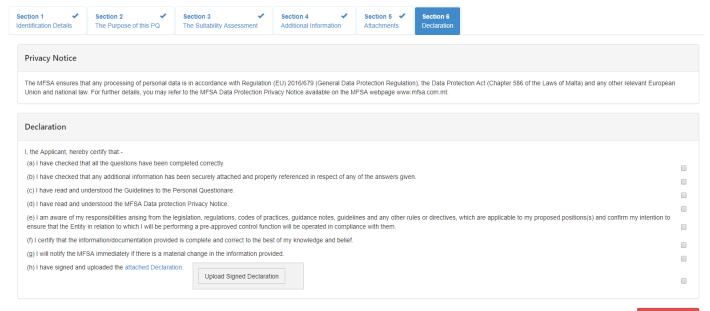
SAVE SECTION 4

# Section 5 (Appendices are to be downloaded, filled and attached)



SAVE SECTION 5

### Section 6 (Declaration is to be downloaded, filled and attached)



SAVE SECTION 6