# APPENDIX 4 F - DIRECTOR’S PERSONAL DECLARATION FORM

Instructions

This personal declaration form must be signed and filed by each director and proposed director (or similar official) of an issuer that applies for listing on the ISM, except:

1. A director of a recognised government agency.
2. a director of an issuer that applies for a secondary listing.
3. A director of any issuer that is already listed on the ISM.

*[Consider an exemption for a director who has filed a similar form with Barbados FSC.]*

Answer all questions. If more space is needed for a complete answer, attach a separate sheet of paper and initial it.

The term “company” includes any type of legal entity that may be listed.

**Declaration to the Barbados** **Stock Exchange (the “Exchange”)**

* 1. Name of applicant for listing:
	2. Surname(s) and any former surname(s):
	3. First name(s):
	4. Date of birth:
	5. Primary residential address:
	6. Nationality and former nationality (if any):
	7. Professional qualifications:
	8. Business experience during the last five years:
	9. Are you a director of any other company, a trustee of any trust or a partner in any partnership? If so:
1. Name of each
2. Is any entity related to the applicant for listing?
3. Type of business
4. Date you became a director or partner
	1. Have you at any time been adjudged bankrupt or sequestrated in any jurisdiction? If so:
5. Court where you were declared bankrupt
6. If discharged, the date and conditions of discharge
	1. Have you at any time been a party to any arrangement or made any other form of settlement with your creditors? If so, provide details.
	2. Are there any unsatisfied legal judgements outstanding against you? If so, provide details.
	3. Has any company been put into compulsory liquidation, voluntary winding-up or had an administrator or other receiver appointed during a period when you were (or within the preceding twelve months had been) one of its directors?
	4. Has any partnership or unit trust been put into compulsory liquidation, voluntary winding-up or been sequestrated during a period when you were (or within the preceding twelve months had been) one of its partners or trustees?
	5. If the answer to questions 13 or 14 is yes, for each case provide:
7. Name of company or partnership
8. Nature of business
9. Date of commencement of liquidation, winding-up, administration or receivership
10. Amount involved
11. Outcome or current status
	1. Have 1) you or 2) a company that you were a director of at the time of the offence, been convicted in any jurisdiction of any offence involving fraud or dishonesty, or an offence under laws or regulations governing companies, issuers of securities, investment funds, securities broker-dealers or the securities business generally? All such convictions must be disclosed even if pardoned or vacated. If so:
12. Court in which you or the company were convicted
13. Date of conviction
14. Details of the offence and the penalty imposed.
	1. Have you, in connection with the formation or management of any company, partnership or other legal entity, been found liable in a civil lawsuit in a court in any jurisdiction for any fraud, misfeasance or other misconduct? If so, provide details.
	2. Have you ever been disqualified by a court, a securities regulatory authority or other agency from acting as a director or officer of a company? If so, provide details.
	3. Have you been refused admission to membership of any professional body or self-regulatory organization, or been disciplined, suspended, disqualified or censured by any such body? If so, provide details.
	4. Is there any other information that is material to your position as a director of the applicant that is not covered by the answers provided above? [Yes / No] If yes, provide details.

DECLARATION:

I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, a director (director, general partner or trustee) of

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name of company) (the "issuer") declare that to the best of my knowledge and belief (having taken all reasonable care to ensure that such is the case) the answers to all the above questions are true.

For purposes of assessing my qualifications to act as a director of the applicant, now or at any time the applicant is listed on the ISM, I authorise the Exchange to obtain information from, or share information with, any governmental authority, securities exchange or other body responsible for supervision of securities issuers, financial services or law enforcement, in the Barbados or in any other jurisdiction.

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Director