



PERSONAL QUESTIONNAIRE

Personal Questionnaire for Directors and Individual Shareholders

(If insufficient space is provided, please attach a separate sheet of paper.)

1. Name of the Company in connection with which this questionnaire is being completed:	
2. Surname: Forename(s): Any previous name(s) by which you have been known: Gender (Male/Female)	
3. Are you completing this questionnaire as a Director or Shareholder:	
4. Source of funds:	
5. Private Address:	
6. Occupation:	
7. Date of birth: Place of birth (including town, state and country).	
8. Nationality:	
9. Number of Passport or other identification document:	
10. Have you at any time been convicted of any offence (except a traffic offence, if any) or been subject to sanctions by a judicial, government, professional or other regulatory body? If so, give full particular:	
11. In carrying out your duties will you be acting on the directors or instructions of any other person? If so, give full particulars of such person and the nature of their involvement:	

I, _____, CERTIFY that the above information is complete and correct to the best of my knowledge and belief and I undertake that, as long as I continue to be a director or shareholder of the above company I will promptly notify the registered office provider of any material changes affecting the completeness of the answers to these questions.

Date: _____

Signed: _____



CORPORATE ACCOUNT QUESTIONNAIRE

If insufficient space is provided, please attach a separate sheet of paper.

1. Please provide information in relation to the following subject matters.

Name

Registered Office Address

Business Address (if different from above)

Nature of Business (e.g. investment company etc.)

Estimated level of account activity

(US\$ per annum/month)

Principal Source of Funding (e.g. investors etc.)

2. please also provide the following documentation:

Where the entity is a company:

- Certificate of Incorporation,
- Memorandum and Articles of Association,
- Board Resolution authorizing the investment management agreement,
- Powers of Attorney or Letters of Authority (if applicable), and
- List or Register of Directors



Where the entity is a Partnership:

- Partnership mandate for making the investment

The following information for any of these groups, where applicable;

- i) For a company, on at least two Directors (including an Executive Director where available), and Beneficial Owners with over 10% interest (or principal control),
 - ii) For a Partnership, on at least two Partners or Controllers, or
 - iii) For a Trust, on the Trustee(s) and Settlor(s), and
 - iv) For all, on any account signatories or authorized persons.
- A completed Personal Questionnaire
 - Certified copy of a current valid Passport or National ID Card, Driver's License (bearing photo and signature)
 - Bank Reference, Professional Character Reference, Utility Bill or Bank Statement etc. (A sample Bank Reference and Professional Character Reference are attached respectively as Appendices 7 and 8.)

Please Note: Copy documents must be certified by a suitable certifier, which includes such professionals as an attorney, accountant, notary public, judge, senior civil servant, government official or director or manager of a regulated credit or financial institution. The certifier should provide their name (in English), signature, title, employer name or occupation and the date of certification. Preferably the certification should read "This document is certified by me as a true and correct copy of the original".

These documents should be returned directly to Havelock Investments

The signatory undertakes that they will promptly notify **HI** on its behalf, in writing of any changes from time to time to the business activities, directors, officers, shareholders or controllers of the company.

I, CERTIFY that I am authorized to complete this document on behalf of _____, the above information is accurate and correct and I undertake that I will notify Havelock Investments of any material changes thereto.

Name and Title:

Date



APPENDIX 7 - BANK REFERENCE LETTER

Sample of Bank Reference

[On letterhead of bank providing reference]

[Date]

To
: [Registered Office]

Dear Sirs

Re: **[name of individual]**

This is to confirm that according to our records the abovementioned individual, whose current address is **[address]**, has been a client of this bank for **[number]** years and is in good standing with us.

I confirm that **[name of bank]** is a bank regulated in **[name of jurisdiction]** and that I am duly authorized to provide this letter to you.]

Yours faithfully

[Name]

[Title/position]



APPENDIX 8 - PROFESSIONAL/PERSONAL REFERENCE LETTER

Sample of Professional Reference

[On letterhead of law firm or accounting firm providing reference]

[Date]

To:

[Registered Office]

Dear Sirs

Re: ***[name of individual]***

This is to confirm that according to our records the abovementioned individual, whose current address is ***[address]***, has been a client of this firm for [number] years and is in good standing with us. I confirm that the proposed establishment and funding of [name of company] complies with relevant laws and regulations of [name of jurisdiction].

I confirm that ***[name of firm]*** is a firm regulated in [name of jurisdiction] and that I am duly authorized to provide this letter to you.

Yours faithfully

[Name]

[Title/position]