

Annexure A

Biodata of Directors, Shareholders, Compliance Officer



Full Name:

<i>Designation:</i>	Director ()
	Shareholder ()
	Compliance Officer ()
	Any other (Please specify) _____ _____
<i>Whether authorised signatory</i>	Yes () No ()
<i>Date of Birth:</i>	____ \ ____ \ _____
<i>Place of Birth:</i>	_____
<i>Full Address:</i>	_____
<i>Country of Residence:</i>	_____
<i>Phone Number (with country & area code):</i>	_____
<i>Email:</i>	_____
<i>Fax Number (with country & area code):</i>	_____
<i>Nationality:</i>	_____
<i>Passport Details*:</i>	Number: _____
	Date of Issue: _____ Date of Expiry: _____
<i>Source of Funds**:</i>	_____
<i>Qualification(s):</i>	_____

Work Experience (in detail):

Details of other directorships held (if any):

Membership of Professional Bodies:

Fit & Proper Questionnaire:

Kindly answer the following. If the answer is yes, please provide further details in the comment field:

No.	Description	Yes	No	Comments
1	Have you ever been unable to fulfill any of his financial obligations, or gone into insolvency, liquidation, administration or the equivalent proceedings, or been subject to a judgment debt or declared bankruptcy in the last 10 years in the UAE or elsewhere?			
2	Have you committed administrative violations or criminal offenses for which final decisions were issued by a governmental or regulatory authority, inside or outside the UAE in the last 10 years?			
3	Has any judgment or court order ever been awarded by the courts or the prosecution against you in relation to fidelity, fraud, cheating or otherwise which would damage the reputation of the market, its member, traders, or others?			
4	Have you ever been accredited, licensed, or authorized by other regulators or governmental institutions, whether local or international?			
5	been refused, or had a restriction placed on, the right to carry on a trade, business, or profession requiring a license, registration, or other permission in the last 10 years?			
6	Do you have direct or indirect control over a financial entity?			
7	Do you represent another person who is an UBO in any Financial entity?			

8	Have you been penalized or subject to a discipline order by any regulatory body (e.g., a tax authority)?			
9	Have you ever belonged to, contributed to, or worked for any professional, social, or charitable organization?			
10	Has your name ever been listed on the sanction lists issued by the United Nations and other international organizations, especially those concerned with anti-money laundering and counter-terrorism funding?			
11	Have you ever been a senior military, government Official, a political official of any country, a senior executive of a state-owned corporation, or an immediate family member or close associate of such a person?			

Declaration:

I declare that, to the best of my knowledge and belief, having made all due inquiry, the information given in this form, and in the documents attached is complete and correct, and will immediately notify the Exchange of any significant changes in the information provided in this form which occur after the date of submitting the form.

Place:

Date:

Signature:

NOTE:

1. It's mandatory to provide all the required information.
2. Please enclose a certified true copy of the signatory's passport
3. Please provide relevant documents as proof of the source of funds. For instance, Proof of Source of funds/wealth can be:
 - Proof of property sale
 - Records of external investment
 - Commercial loan agreement letter
 - Audited Financial Statements
 - Bank Statements
 - Written confirmation from a qualified accountant/lawyer
 - Grant of Probate/Copy of Will
 - Salary certificate
 - Any other accepted documents