

FORM PQ
EXHIBIT 3

SAINT VINCENT AND THE GRENADINES
MUTUAL FUNDS REGULATIONS, CHAPTER 154 OF
THE REVISED LAWS OF SAINT VINCENT AND THE GRENADINES, 2009

Personal Questionnaire

Name of Mutual Fund or Applicant in Connection with which this Form is being completed ("The Institution")

Name of Individual Completing this Form

DEFINITIONS AND NOTES APPLICABLE TO THIS FORM:

1. Meaning of Director, Controller, Manager and Promoter

For purposes of this Form—

"Director", in relation to an institution, includes—

- a) any person who occupies the position of a director, by whatever name called;
- b) in case of an institution established in a country or territory outside Saint Vincent, any person, including a member of a managing board, who occupies a position appearing to the Financial Services Authority to be analogous to that of a director of a company; and
- c) a person in accordance with whose directions or instructions the directors of the body corporate or any of them act;

"Controller", in relation to an institution, means—

- (a) a managing director of the institution or of another institution of which it is a subsidiary or, in the case of an institution which is a partnership, a partner;
- (b) a chief executive of the institution or of another institution of which it is a subsidiary;
- (c) a person who, either alone or with any associate or associates, is entitled to exercise, or control the exercise of, fifteen percent (15%) or more of the voting power at any general meeting of the institution or of another institution of which it is a subsidiary; and
- (d) a person in accordance with whose directions or instructions the directors of the institution or of another institution of which it is a subsidiary or persons who are controllers of the institution by virtue of paragraph (c) above (or any of them) are accustomed to act (referred to as an "indirect controlled");

"Manager", in relation to an institution, means a person with managerial responsibilities (including an actuary or underwriter) who is directly responsible to a director

“Promoter” shall have the meaning ascribed to it in the Act.

2. Meaning of Related Party

Related party means both a person who is a relative (or the spouse of a relative) of the individual completing the form and any institution or trust with which the individual or one of his relatives (or their spouses) is associated as a director, shareholder, manager (or in the case of a trust, as a trustee or beneficiary). For the purpose of this form, a **“relative”** is an individual’s husband, wife, brother (including step-brother), sister (including step-sister), uncle, aunt, nephew, niece, first cousin, father (including step-father), mother (including step-mother), son (including step-son), daughter (including step-daughter) or other lineal ancestor or lineal descendant.

3. Meaning of Connected Body

If anybody disclosed in question 5 is a connected body of the institution that fact should be indicated.

“Connected Body” means a body in whose case any of the following conditions is fulfilled—

- (a) the same person is the controller of each body; or
- (b) if a group of two or more persons are controllers of each body and the group either consists of the same persons or could be regarded as.

1. Personal Details

(a) Name of Applicant

Full name	
Any previous name(s) or alias	
date(s) of name change	

(b) Date of Birth

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(c) Country and place of birth

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(d) Nationality

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(e) Any change of nationality

previous nationality	
date changed	

(f) (i) Private address(es)

(ii) Any other private address(es) in previous ten years and dates

(g) Contact Details

Telephone	
Fax	
Email	
Website	

(h) Profession

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(i) Business Address

(j) Business contact details

Telephone	
Fax	
Email	
Website	

(k) Please state in what capacity you are completing this form, i.e. as a current or prospective director, controller or manager or any combination of these (see Note 1). Please state your full title and describe the particular duties and responsibilities attaching to the position(s) which you hold or will hold. If you are completing this form in the capacity of director, indicate whether, in your position as director, you have or will have executive responsibility for the management of the Institution's business.

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2. Relationship with the Institution, Former Employers and other Third Parties

- (a) In carrying out your duties will you be acting on the directions or instructions of any other individual or institution?

YES/NO

- (i) If YES, state the name of the individual or institution

- (b) How many shares in the Institution are or will be registered in your name or the name of the related party (see Note 2)? If applicable, give name(s) in which registered and class of shares.

- (c) How many shares in the Institution (not being registered in your name or that of a related party) are you or any related party beneficially interested?

- (d) Do you, or does any related party, hold any shares in the Institution as trustee or nominee?

*YES/NO

- (e) Are you a significant shareholder of any other financial institution (other than the Institution), which is now regulated under statute or has applied for such regulation?

*YES/NO

- (f) Do you in your private capacity, or does any related party, undertake business with the Institution?

*YES/NO

- (g) Do you have any other business interest involving a possible personal liability, either as a sole trader or as a partner?

*YES/NO

- (h) Are any of the shares in the Institution mentioned in answer to question 2(b), (c) and (d) equitably or legally charge or pledged to and party?

*YES/NO

- (i) What proportion of the voting power at any general meeting of the Institution (or of another body corporate of which it is a subsidiary) are you or any related party entitled to exercise or control the exercise of?
_____ %

- (j) Do any of the former employers listed at 3 below (or any of the bodies listed in the answer to question 5 and 6(i) maintain a business relationship with the Institution?

*YES/NO

3. Experience

Give the following details for each employment over the previous five years, commencing with present employment.

***Any gaps in employment over the period must be explained.**

(a) (i) Period of employment (month and Year)

From	
To	
Name of employer	
Address of employer	
Nature of Employer's Business	
Position(s) and responsibilities	
Reason for Leaving	

(ii) Period of employment (month and year)

From	
To	
Name of employer	
Address of employer	
Nature of Employer's Business	
Position(s) and responsibilities	
Reason for Leaving	

(iii) *Period of employment (month and year)*

From	
To	
Name of employer	
Address of employer	
Nature of Employer's Business	
Position(s) and responsibilities	
Reason for Leaving	

(iv) *Period of employment (month and year)*

From	
To	
Name of employer	
Address of employer	
Nature of Employer's Business	
Position(s) and responsibilities	
Reason for Leaving	

(v) *Period of employment (month and year)*

From	
To	
Name of employer	
Address of employer	
Nature of Employer's Business	
Position(s) and responsibilities	
Reason for Leaving	

4. Qualifications

Give details of:

(a) All relevant professional qualifications, including dates of qualification

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(b) Other relevant training or experience. **(Give dates of training)**

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(c) State whether in your personal capacity you hold or at any time have held any membership, licence or authorisation or been registered as a representative under laws of the U.S., the U.K., Canada, or any other country in relation to banking, investment, insurance or other finance business.

*YES/NO

If YES, give details below including license/registration number and name of the authorising body where appropriate.

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- (d) Please provide a synopsis of your Fund experience and/or relevant experience in the type of business that the proposed fund intends to undertake.

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5. Other Business Interests (see Note 3)

State whether there are any bodies (other than the Institution) of which you are, or have been during the previous five years, a director, partner or shareholder (if you are a shareholder of any such bodies indicate in what sense).

*YES/NO

If YES, give details below

NAME	
PRINCIPAL ACTIVITIES	
DIRECTOR, PARTNER OR CONTROLLER	
PAST OR CURRENT	

6. Good Reputation and Character

- a) Have you at any time been convicted of any offence involving fraud or other dishonesty or an offence under legislation (including insider dealing), relating to institutions providing financial services, insolvency, consumer credit or consumer protection or any other statutory offence other than a road traffic offence, (whether or not in St. Vincent and the Grenadines)? *YES/NO

If YES, give particulars of the court by which you were convicted, the offence and the penalty imposed and the date of conviction.

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Note.—“Financial services” includes (inter alia) activities carried on by banks, brokers, building societies, credit unions, friendly societies, industrial and provident societies, insurance companies/managers and investment managers and advisors.

- b) Are you currently engaged, or have been engaged during the previous twelve years, in any litigation?

*YES/NO

If YES, give particulars

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- c) (i) Have you ever been declared bankrupt or have had your estate sequestered or a preliminary vesting order declared against you? *YES/NO

If YES, give particulars

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Note.—“Declaration of bankruptcy” and “sequestration of estate” includes any analogous proceedings under the law of another country or jurisdiction.

- (ii) Are you currently the subject of bankruptcy, sequestration, or similar proceedings? *YES/NO

If YES, give particulars

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- (iii) Are you aware of the likelihood of any such proceedings being threatened against you? *YES/NO

If Yes, give particulars

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- d) Have you ever been resigned from, been refused or had revoked membership of any association of dealers in securities or other financial instruments or of any stock exchange or of any professional body or decided, after making your application, not to proceed with it ?

*YES/NO

If Yes, give particulars

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- (e) Have you (or any institution with which you have been concerned in the management or conduct of affairs) in Saint Vincent and the Grenadines or elsewhere, been censured, sanctioned, disciplined, warned as to future conduct, or publicly criticised by, or made the subject of a court order at the instigation of any governmental or regulatory authority or any professional body to which you belong or belonged?

*YES/NO

If Yes, give particulars

- (f) Have you ever held a practising certificate subject to limitations or conditions? *YES/NO

If Yes, give particulars

- (g) Have you, in Saint Vincent and the Grenadines or elsewhere, been dismissed or requested to resign from any office or employment, removed from any fiduciary office or position of trust, subject to disciplinary proceedings by your employer or barred from any profession or occupation? *YES/NO

If Yes, give particulars

- (h) Has anybody corporate, partnership or unincorporated institution with which you are, or have been associated as a director, partner, officer, or manager, or a shareholder owning more than fifteen per cent (15%) of the voting equity, been the subject of an investigation by a governmental, professional, or other regulatory body?

*YES/NO

If Yes, give particulars

- (i) Have you ever been disqualified from acting as a director of a company, or from acting in the management or conduct of the affairs of any company, trust, partnership or unincorporated association? *YES/NO

If Yes, give particulars

- (j) Has anybody corporate, trust, partnership or other unincorporated institution with which you were associated as a director, partner, controller or manager, been wound up, gone into receivership, made subject to an administration order, otherwise made any compromise or arrangement with its creditors or ceased trading either while you were associated with it or within one year after you ceased to be associated with it? *YES/NO

If Yes, give particulars

- (k) Have you ever, in connection with the formation or management of anybody corporate, partnership or unincorporated institution , been adjudged by a court to be civilly liable for any fraud, misfeasance or wrongful trading or other misconduct by you towards such a body or towards any members or creditors of such a body? *YES/NO

If Yes, give particulars

- (l) Have you ever failed to satisfy any debt adjudged due and payable by you as a judgement-debtor under an order of a court in Saint Vincent and the Grenadines or elsewhere or made any compromise arrangement with your creditors within the last 12 years? *YES/NO

If Yes, give Particulars

7. State below any other material information which is relevant in assessing your expertise and experience for the Application

DECLARATION

I declare and 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 of which the Registrar of Mutual Funds or the Financial Services Authority should be aware.

IMPORTANT NOTICE

You should be aware, before signing this declaration, that it is an offence under section 40 of the Act to knowingly or recklessly provide the Authority with information which is false or misleading in a material particular.

Name (in BLOCK CAPITALS)

Signed _____