

SCHEDULE 3

PERSONAL QUESTIONNAIRE

(Paragraphs 3(l) (b) and (c))

This Personal Questionnaire must be completed by each key person of an applicant for a CTSP, General CSP, Limited CSP or Director's licence.

For a Special Trust Licence, this form must be completed by each manager.

1. Name of applicant:

2. Name and address of person completing questionnaire:

3. Position held:

4. Details of directorships held:

5. Details of shareholdings greater than 15%:

6. Have you ever:
 - (a) been declared bankrupt:

 - (b) entered into any arrangement that resulted in a failure to meet your financial obligations in full and on time:

 - (c) been subject to a court order concerning financial obligations that have not been met:

7. Have you ever:
 - (a) been convicted of any offence involving fraud or dishonesty:

- (b) been found by any regulatory authority or professional association to have engaged in any activity that has led to disciplinary action that would cause the Commission to have reasonable doubts about your integrity:

- 8. Are you:
 - (a) currently subject to an investigation by a law enforcement agency, regulatory authority or professional association in circumstances that would cause the Commission to have reasonable doubts about your integrity:

 - (b) currently a defendant in civil litigation of a nature that may cause the Commission to have reasonable doubts about your integrity:

- 9. To the best of your knowledge, has the applicant ever:
 - (a) been declared bankrupt:
 - (b) been placed in administration:
 - (b) entered into any arrangement that resulted in a failure to meet financial obligations in full and on time:
 - (c) been subject to a court order concerning financial obligations that have not been met:

- 10. To the best of your knowledge, has the applicant ever:
 - (a) been convicted of any offence involving fraud or dishonesty:

 - (b) been found by any regulatory authority or professional association to have engaged in any activity that has led to disciplinary action that would cause the Commission to have reasonable doubts about the integrity of the applicant:

- 11. To the best of your knowledge is the applicant:
 - (a) currently subject to an investigation by a law enforcement agency, regulatory authority or professional association in circumstances that would cause the Commission to have reasonable doubts about the integrity of the applicant:

 - (b) currently a defendant in civil litigation of a nature that may cause the Commission to have reasonable doubts about the integrity of the applicant:

I certify that the information given in this questionnaire is true and correct.

Dated: _____

Signed: _____

Designation: _____

Signature of witness: _____

Occupation: _____

Address of witness: _____