

# ALEXANDERS & ALEXANDER MANAGEMENT LTD.

## PERSONAL DECLARATION

Name of Entity in connection with which this Declaration is being completed:			
Surname:			
Complete forenames:			
Known by any other name(s):			
Any previous name(s):			
Name of Spouse:			
Business Address:			
Residential Address: (P.O. Box <u>not</u> acceptable)			
Telephone contact:	Business:	Home:	Cell:
Email Address:			
Country of Citizenship:		Passport No:	
	Date & Place of issue:		
Date of Birth:	Day:	Month:	Year:      Gender:
Place of Birth:	City:	Country:	
Occupation:			
Present Employer:			
Foreign Account Tax Compliance Act (FATCA)	Are you a US or a UK tax payer? If so, please complete a Form W-9 (for US) or provide a National Insurance Number for UK)		

1. A separate Personal Declaration must be completed and signed by prospective individual clients of Alexanders or Alexander Management Ltd. (or the representative of a corporate entity seeking our services) and those proposing to be a director of a company to be registered. In respect of partnerships, a declaration is to be completed by the general partner(s), where the general partner is an individual.
  
2. **NOTE: Questions 1 - 6** must be completed by all applicants. In respect of partnerships, a declaration is to be completed by the general partner(s), where the general partner is an individual. **Questions 7 - 10** must be completed where the entity proposed to be registered or formed is to carry on investment business or is a collective investment scheme.

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS YES PLEASE PROVIDE DETAILS IN WRITING IN RESPECT OF THAT ANSWER.

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1. Do you have any interest in any company or partnership registered or formed in an offshore jurisdiction?    | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Have you ever been refused consent to register a company or form a partnership in an offshore jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Are you or have you ever been an undischarged bankrupt?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Have you ever been convicted of a criminal offence involving fraud or dishonesty?                           | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Has fraud or dishonesty been proven against you in any civil proceedings?                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Have you ever been the subject of a judicial or other official enquiry?                                     | <input type="checkbox"/> | <input type="checkbox"/> |

Questions 7 - 10 must be completed where the entity proposed to be registered or formed is to carry on investment business or is a collective investment scheme.

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 7. Have you or any entity that you have been associated with, ever been refused or had revoked a licence, permit or other authorisation to provide investment business to the public in any jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Are you a member in good standing of a self regulatory organisation?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 8a. If yes, name the organisation(s):   |                          |                          |
| 9. Have you ever been the subject of investigation, proceeding or other enquiry by a self regulatory organisation of which you are or were a member?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Have you or any entity that you have been associated with, ever been refused or had revoked a licence, permit or other authorisation to conduct investment business in any jurisdiction?              | <input type="checkbox"/> | <input type="checkbox"/> |
| 11. Are you, or is any member of your family, a Politically Exposed Person ("PEP") as defined in the Proceeds of Crime (Anti-money Laundering and Anti-Terrorist Financing) Regulations 2008?             | <input type="checkbox"/> | <input type="checkbox"/> |

If yes, please provide full details.

I hereby certify that the information in this Declaration is true to the best of my information, knowledge and belief.

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

Dated: \_\_\_\_\_ 2018