Fit and Proper Questionnaire

Important Note: Once submitted, a change in any of the responses to this questionnaire could result in the removal of your name as a candidate, or from office if already appointed.

1. Have you ever been convicted or associated with any criminal offence, including dishonesty, fraud or financial crime?
   ☐ YES ☐ NO

2. Have you ever been the subject of any adverse finding or any settlement in civil proceedings, in connection with investment or other financial business, misconduct or fraud?
   ☐ YES ☐ NO

3. Are you currently the subject of investigation or disciplinary proceedings by regulatory authorities, professional bodies or government bodies?
   ☐ YES ☐ NO

4. Have you ever been disciplined by regulatory authorities, professional bodies or government bodies?
   ☐ YES ☐ NO

5. Have you ever been dismissed, disqualified or asked to resign from a position of trust or fiduciary appointment, or been disqualified from acting as a director?*
   ☐ YES ☐ NO

6. Are there any current proceedings which might lead you to being unable to answer "no" to any of the above questions at some future time?
   ☐ YES ☐ NO

7. Please provide an explanation for any of the above questions to which you are unable to provide the answer “no”.


Print name ___________ Signature ___________ Date ___________

Adopted by the Nominations Committee September 2011; last revised July 2012