

ADDITIONAL PROPOSAL FORM QUESTIONS

For the purposes of these following questions, the word “**employee**” shall mean all employees, staff, officers, directors and partners of the Firm/Company.

1.
 - (a) Are all Partners/Directors/employees who advise and/or recommend products to clients registered with both the Confederation of Insurance Brokers and the Securities and Futures Commission?
 - (b) If the answer to 1(a) above is no, please list on a separate sheet, the names of those employees who are not so registered and the reasons why.
2. Please list by name each Partner/Director/employee and state in which category(ies) each is licensed to operate. Please confirm that all Partners/Directors/employees, irrespective of any period of grace afforded by the Confederation of Insurance Brokers, the Securities and Futures Commission and the Securities Institute, have passed all exams required of them in order to operate in the regulated activity(ies) in which they are so licensed.
3.
 - (a) Has any Partner/Director/employee ever advised a client to gear or made a client aware of the possibility of gearing an investment product (for the purposes of this question, the words “**gear**” and “**gearing**” mean the taking out of a loan by the client in order to increase the level of his investment in a particular product on the assumption that the return on the amount borrowed would surpass the interest payable thereon)?
 - (b) If the answer to 3(a) above is yes, please provide full details.

4. (a) Has any Partner/Director/employee or the Firm/Company itself received any complaints from any client in relation to any of the investment products detailed in answer to question 3(b) above irrespective of whether any such complaint contains a threat of legal proceedings or not?

(b) If so, please provide details of all such complaints.

5. Has any Partner/Director/employee or the Firm/Company itself ever recommended to a client that he/she invest in a fund which is related to the Firm/Company? (for the purposes of this question, a fund is related to the Firm/Company if any Partner/Director/employee or the Firm/Company is in any way involved in the management company of the fund in question or the fund itself, whether as shareholder, director or otherwise howsoever, including for the avoidance of doubt, family relationships).

6. (a) Has any Partner/Director/employee or the Firm/Company itself been subject to any investigation by the Confederation of Insurance Brokers, the Securities and Futures Commission and/or any other regulatory authority?

(b) If the answer to question 6(a) is yes, please provide full details of the parties investigated, the date of the investigation, the reasons for the investigation and the outcome thereof.

NB: You may need to seek approval from the Securities and Futures Commission in order to provide the details requested in 6(b).

7. Is every client made to sign a Client Agreement which complies with the Code of Conduct For Persons Registered With The Securities and Futures Commission promulgated from time to time by that body?

I, the undersigned, being a person referred to in question 4 of this Proposal, hereby acknowledge that I have made all necessary enquiries in relation to the above questions and that Underwriters will be specifically relying on the answers hereto and all information provided by me on my own behalf and as agent for all employees and the Firm/Company itself in deciding whether or not to issue a contract of insurance and, if so, on what terms and at what premium.

Name of Firm/: -----

Company

Signed ----- Dated

(State name and Position) -----