



DIFC Registrar of Companies

Please complete the following questionnaire in relation to the audit firm itself as well as for each partner/member/employee of the audit firm. Should any answer to the following questions be "yes", please provide explanation on a separate sheet.

Has the firm/individual: (check each box as applicable)

	<b>Yes</b>	<b>No</b>
(i) been convicted or found guilty in respect of any offence, other than a minor road traffic offence, by any court of competent jurisdiction;	<input type="checkbox"/>	<input type="checkbox"/>
(ii) ever been the subject of disciplinary procedures by a government body or agency or any self regulatory organisation or other professional body;	<input type="checkbox"/>	<input type="checkbox"/>
(iii) contravened any provision of financial services legislation or of rules, regulations, statements of principle or codes of practice made under or by a Financial Services Regulator or other supervisory body;	<input type="checkbox"/>	<input type="checkbox"/>
(iv) been refused or restricted the right to carry on a trade, business or profession requiring a licence, registration or other authority;	<input type="checkbox"/>	<input type="checkbox"/>
(v) been dismissed or requested to resign from any office or employment;	<input type="checkbox"/>	<input type="checkbox"/>
(vi) been concerned with the management of a body corporate which has been or is currently the subject of an investigation into an allegation of misconduct or malpractice;	<input type="checkbox"/>	<input type="checkbox"/>
(vii) received an adverse finding in a civil action by any court of competent jurisdiction of fraud, misfeasance or other misconduct, whether in connection with the formation or management of a corporation or otherwise;	<input type="checkbox"/>	<input type="checkbox"/>
(viii) received an adverse finding or an agreed settlement in a civil action by any court or tribunal of competent jurisdiction resulting in an award against an Individual in excess of \$10,000 or awards that total more than \$10,000;	<input type="checkbox"/>	<input type="checkbox"/>
(ix) been the subject of an order of disqualification as a director or otherwise to act in the management or conduct of the affairs of a corporation by a court of competent jurisdiction or regulator;	<input type="checkbox"/>	<input type="checkbox"/>
(x) been a director, partner or concerned in the management of a company or partnership which has gone into insolvent liquidation whilst the individual was connected with that company or partnership or within one year of such a connection;	<input type="checkbox"/>	<input type="checkbox"/>
(xi) been the subject of complaint in connection with a financial service or ancillary service, which relates to his integrity, competence or financial soundness; or	<input type="checkbox"/>	<input type="checkbox"/>
(xii) been censured, disciplined, publicly criticised by or the subject of a court order at the instigation of a Financial Services Regulator or any officially appointed inquiry.	<input type="checkbox"/>	<input type="checkbox"/>

I/We certify that the information in this application and any attachment is true and complete as at the date of signing.

**Signature:**

**Date:**