



FORM 3

PERSONAL INFORMATION FORM

General Instructions

1. This Personal Information Form ("Form") is to be completed by
 - (a) every individual who, if the securities of the Applicant Issuer described below are accepted for listing on the IW World Exchange ("IWWE" or the "Exchange"), will at the time of listing be a Related Person of the Applicant Issuer and
 - (b) each director, senior officer and person who directly or indirectly owns, controls or exercises discretion over 20% or more of the outstanding voting shares of any non-individual that will, if the securities of the Applicant Issuer described below are accepted for listing on the Exchange, be a Related Person of the Applicant Issuer.
2. This Form is also to be completed where the securities of the Applicant Company are listed on the Exchange by
 - (a) each individual who has become or proposes to become a Related Person of the Listed Issuer and
 - (b) each director, senior officer and each person who directly or indirectly owns, controls or exercises discretion over 20% or more of the outstanding voting shares of any non-individual who has become or proposes to become a Related Person of the Listed Issuer.
3. All items must be completed on the Form. Each Form must be signed (and initialled where necessary) manually and not mechanically or electronically. No facsimiles or copied versions will be accepted. Please type or print using BLOCK letters. *Failure to respond to all questions accurately and completely may delay the processing of the application of the Applicant Issuer and may result in the denial of the application.*
4. All attachments pertaining to any question must be made exhibits to the Form and each one must be so marked. All signatures must be originals. The Commissioner of Oaths/ Notary before whom the statutory declaration at the end of the form is made, as well as the person completing the Form, must initial all attachments.
5. All forms must be accompanied by a clear photocopy of two pieces of identification issued by a government authority (such as a driver's license or passport).

Applicants Name:
Name of IWWE Listed Company (or issuer seeking listing):

1. Basic Information
(a) Identification

Surname:	Legal First Name:
Full Middle Name(s):	Check here if no middle name(s): <input type="checkbox"/>
Name(s) by which you are comonly known by:	

(b) Personal Information – No Abbreviations

Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	Date of Birth:		
	Day:	Month:	Year:
Place of birth (City Province/State, Country)			
Email address:			

(c) Current Residential Address – No Abbreviations

Street Address:	City:	Province/State:
Country:	Postal/ZIP:	Res. Telephone Number: ()

(d) Residential History for Past 3 years – No Abbreviations
 (Provide attachments if additional space is necessary)

Street address, City, Province/State, Country, Postal/ZIP	From				To			
	M	Y	M	Y	M	Y	M	Y

(e) Citizenship – No Abbreviations

Citizenship:

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(f) Professional Designation(s)

Please list all professional designations which you have and professional associations to which you belong (please include membership numbers where applicable):

(g) — Present or Proposed Position with the Applicant Issuer

Check below as applicable	Provide the Date Elected/ Appointed/ Position Achieved					Title
	M		D		Y	
<input type="checkbox"/> Director						
<input type="checkbox"/> Officer						
<input type="checkbox"/> Other (provide details) (see General Instructions – Pg.1)						

(h) Positions with Other Issuers

Provide the names of any public reporting issuers and any issuer with continuous disclosure obligations in any jurisdiction of which you are now, or during the last 10 years, have been a director, promoter, insider or control person, the positions you held and the periods during which you held those positions. Use an attachment if necessary.

Name of Reporting Issuers	Market	Positions Held with Issuer	From				To			
			M		Y		M		Y	

2. Change of Name or Use of Different Name

Instructions

Have you ever had, used, operated under, or carried on business under any name other than the names mentioned in Question 1a of this form, or have you ever been known under any other name? (Name changes resulting from marriage, divorce, court order or any other process should be included here, giving appropriate dates.)

Yes:
No:

Previous Names	From		To	
	Month	Year	Month	Year

Instructions Regarding Questions 3 to 7

Full details are required as attachments in respect of any question to which the answer is yes. These details must include the circumstances, the relevant dates, the names of the parties involved, and the final determination if known. All questions must be answered with YES or NO, unless otherwise specified.

3. Proceedings by Regulators

(a) Have you personally ever been the subject of a cease trading order issued by any authority regulating trading in securities?

Yes: No:

Details:

(b) Have you, or has any partnership or company of which you were at the time of such event a partner, officer, director, or beneficial owner of more than 10% of the voting securities, ever been denied the benefit of any exemption provided by any act regulating trading in securities?

Yes: No:

Details:

- (c) Have you, or has any partnership or company of which you were at the time of such event a partner, officer, director, or beneficial owner of more than 10% of the voting securities, ever been the subject of disciplinary action, not disclosed in 3(b) above, undertaken by any authority regulating or supervising trading in securities, including any stock exchange, association of investment dealers or similar organization? (Do not include cease-trading orders.)

Yes: No:

Details:

- (d) Have you personally ever been the subject of disciplinary action, not disclosed in 3(a), (b) or (c) above, undertaken by any tribunal, organization or society responsible for the regulation of a profession?

Yes: No:

Details:

4. Offences Under The Law

Note: *If a pardon under the Criminal Records Act has been formally requested and you have received formal written notice that such pardon has been granted and it has not been revoked, you are not obliged to disclose any such pardoned offence. In such circumstances, the appropriate response would be: "Yes, pardon granted on (date)."*

(a) Past Convictions Involving Securities or Commodities

Have you ever been convicted under any law of any province, territory, state or country of any offence relating to trading in securities, commodities or commodity futures contracts, or with the theft of securities, or with any related offence, or been a party to any proceedings taken on account of fraud arising out of any trade in or advice respecting securities?

Yes: No:

Details:

(b) Past Convictions Involving Other Contraventions or Criminal Offences

Have you ever been convicted under any law of any province, territory, state or country for contraventions or criminal offences not noted in 4(a) above? (Do not include non-criminal traffic convictions.)

Yes: No:

Details:

(c) Current Charges or Indictments

Are you currently the subject of a charge or indictment, under any law of any province, territory, state or country for contraventions, criminal offences, or other conduct of the type described in 4(a) or 4(b) above?

Yes: No:

Details:

(d) Partnership or Company Convictions or Current Charges or Indictments

Has any partnership or company of which you were at the time of such event a partner, officer, director, or beneficial owner of more than 10% of the voting securities, ever been convicted, or is any partnership or company in which you hold such a position currently the subject of a charge or indictment, under any law of any province, territory, state or county for contraventions, criminal offences, or other conduct of the type described in 4(a) or 4(b) above?

Yes: No:

Details:

5. Civil Proceedings

(a) Has a court in a civil proceeding ever held that you or any partnership or company of which you were at the time of such event a partner, officer, director, or beneficial owner of more than 10% of the voting securities committed fraud or similar conduct?

Yes: No:

Details:

(b) Are there any civil proceedings now pending in which fraud or similar conduct on the part of you or any partnership or company of which you are or were at the time such proceedings commenced a partner, officer, director, or beneficial owner of more than 10% of the voting securities is alleged?

Yes: No:

Details:

Acknowledgement and Consent to Collection and Use of Personal Information

I HAVE READ AND UNDERSTOOD THE PERSONAL INFORMATION COLLECTION POLICY (“PRIVACY POLICY”) OF THE NEW ZEALAND SECURITIES EXCHANGE. I HEREBY AUTHORIZE AND CONSENT TO THE COLLECTION AND USE BY ANY OF THE CANADIAN SECURITIES EXCHANGE AND ITS SUBSIDIARIES, AFFILIATES, REGULATORS AND AGENTS OF ANY INFORMATION WHATSOEVER (WHICH MAY INCLUDE PERSONAL, CREDIT, OR OTHER INFORMATION) FROM ANY SOURCE, INCLUDING WITHOUT LIMITATION AN INVESTIGATIVE AGENCY OR A RETAIL CREDIT AGENCY AS PERMITTED BY LAW IN ANY JURISDICTION IN NEW ZEALAND OR ELSEWHERE. I ACKNOWLEDGE AND AGREE THAT SUCH INFORMATION MAY BE SHARED WITH AND RETAINED BY THE NEW ZEALAND SECURITIES EXCHANGE AND ITS SUBSIDIARIES, AFFILIATES, REGULATORS AND AGENTS INDEFINITELY.

Date

Signature

ALL ATTACHMENTS MUST BE INITIALED BY THE PERSON COMPLETING THE FORM AND BY THE COMMISSIONER FOR OATHS./ NOTARY PUBLIC ALL SIGNATURES MUST BE ORIGINALS.

LIST ANY ATTACHMENTS:

8. — Statutory Declaration

I, _____ (Name of Person Completing this Form)

Do Solemnly Declare That

- (a) I have read and understand the questions, caution and acknowledgement in this Form;
- (b) The answers I have given to the questions in this Form and in any attachments to the Form are true and correct except where stated to be to the best of my knowledge in which case I believe the answers to be true; and

SWORN/DECLARED before me at the

City of _____ in the Country

of _____ this _____ day

of _____, 20____.

A Commissioner of Oaths/Notary Public
My Appointment Expires:

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NOTARY'S SEAL:

Note: Where this form must be executed in the presence of a duly authorized Notary Public in and for the jurisdiction in which it is sworn.

PERSONAL INFORMATION COLLECTION POLICY

The IW World Exchange and its subsidiaries, affiliates, regulators and agents (collectively, "IWWE or the "Exchange") collect and use the information (which may include personal, credit, confidential, criminal or other information) which you have provided in this personal information form ("PIF") for the following purposes:

- To conduct a background check of the individual or company completing the PIF;
- To verify the information provided in the PIF;
- To determine whether an individual is suitable to be associated with a Listed Issuer;
- To determine whether an issuer is suitable for listing;
- To determine whether allowing an issuer to be listed or allowing an individual to be associated with a Listed Issuer could give rise to investor protection concerns or could bring the Exchange into disrepute;
- To conduct enforcement proceedings;
- To ensure compliance with Exchange Requirements and applicable securities legislation; and
- To fulfil the Exchange's obligation to regulate its marketplace.

The IWWE may also collect information, including personal information, from other sources, including but not limited to securities regulatory authorities, law enforcement and self-regulatory authorities, regulation service providers and their subsidiaries, affiliates, regulators and agents. The Exchange may disclose personal information to these entities or otherwise as provided by law and they may use it for their own investigations.

The Exchange may use third parties to process information or provide other administrative services. Any third party will be obliged to adhere to the security and confidentiality provisions set out in this policy.

All personal information provided to or collected by or on behalf of The Exchange and that is retained by The Exchange is kept in a secure environment. Only those employees who need to know the information for the purposes listed above are permitted access to the information or any summary thereof. Employees are instructed to keep the information confidential at all times.

Information about you that is retained by the Exchange and that you have identified as inaccurate or obsolete will be corrected or removed.

Acceptable Forms of Photo Identification

All forms must be accompanied by a clear photocopy of two pieces of identification issued by a government authority (such as a driver's license or passport). However,

- One piece of identification must contain a recognizable photograph of you taken within the last 5 years.
- The pieces of identification must confirm your full given name, surname, date of birth, gender and current mailing address.
- Expired documents are not acceptable.
 - Driver's Licence
 - International Student Card
 - Passport
 - Permanent Resident Card

Acceptable Forms of Non-Photo Identification

- Birth Certificate
- Baptismal Certificate
- Immigration Papers