

to Appendix to Regulation 10/41 “Procedure for Issuing a Permit to Management of a Non-Public Investment Fund”

Reference Information About the Manager and Manager Activity

Attach your photo here	
☐ Please check this box if only the changes are to be submitted in Reference Information	
1. Data about the organization (Please indicate the data about the organization where you will be a manager)	
1.1. The name of the organization and the code (if any)	
1.2. Type of the organization ☐ bank ☐ branch of a foreign bank ☐ credit organization ☐ insurance company ☐ branch of a foreign insurance company ☐ insurance broker ☐ investment firm ☐ branch of a foreign investment firm ☐ regulated market operator ☐ central depository ☐ fund manager ☐ entity responsible for managing a non-public fund ☐ branch of a foreign fund manager ☐ bureau ☐ payment and settlement organization	

2.	Managerial position
2.1	The managerial position that you shall take in the organization mentioned in subpoint 1.1 ☐ member of the (supervisory) board of directors (board member) ☐ executive director (chairman of the executive board, head of the directorship, head of the executive body) ☐ deputy executive director (deputy chairman of the executive board) ☐ member of directorship (executive board, executive body) ☐ chief accountant ☐ head of internal audit ☐ officer in charge of performing risk management functions ☐ officer in charge of performing compliance provision function ☐ chairman (head) of the oversight committee ☐ chairman of the discipline committee of the operator ☐ head of supervising service of the operator ☐ responsible actuary ☐ head of the internal monitoring unit of the bank
2.2	Describe key areas of your competences and responsibilities as a manager, in accordance with your job description, employment contract
3.	Personal data
3.1	Name, surname, father's name
3.2	Sex: ☐ male ☐ female
3.3	Date of birth (day/month/year)
3.4	Place of birth (country, region, community)
3.5	Indicate: ☐ Address of registration ☐ Address of actual residence
3.6	Citizenship ☐ Republic of Armenia

o Other (specify country/countries of citizenship)				
3.6.1 Residency o Republic of Armenia o Other (specify country of residency)				
3.7 Indicate: o Passport details o Details of other passports in use (if any)				
3.8 Indicate: o Public services number (number of the Reference stating that no public services number has been obtained) o Not applicable				
3.9 Indicate a phone number o mobile phone o other				
3.10 E-mail address				
3.11 Indicate all the names, surnames, father's names you carried previously, and within which time period: Name, surname, father's name Time period from/to (day/month/year)				
4. Education, qualification, work experience				
4.1				
Name of the higher education institution; title of the international qualification	Place/address of the higher education institution	Time period of education at the higher education institution (from year/to year)	Profession	Academic degree
4.2 Indicate any information/documents/deliverables that substantiate your knowledge				
Qualifications	Trainings	Courses	Projects	

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4.3 What languages do you speak?

- ☐ Armenian
- ☐ English
- ☐ Russian
- ☐ other (please specify)

4.4 Indicate the following information on the work experience for at least the last 10 years (information on actual work experience should be indicated irrespective of whether it has been mentioned in the employment history or not)

Periods of employment: dates of admission and dismissal	Name of the organization	Area of activity of the organization	Place/location	Phone number	Position	Role/main responsibilities	Grounds for dismissal	Check the box, if data is not mentioned in your employment history

4.5 Indicate:

- ☐ information (as fresh as upon presenting this Reference Information) about a maximum of 3 persons who know you personally, who, if necessary, can provide recommendation for you; one of those persons from your most recent workplace (a most recent workplace is considered to be the previous organization where you have worked), and the other two not from the organization where you intend to work, but if they work or have worked in the financial system

Name, surname	Workplace and its location	Position	Years of working in the financial system	Phone number, e-mail address	Nature of the relationship with the guarantor

- ☐ Not applicable, if there are no persons as required under this point

5. Other information about the manager (officer in charge)
5.1 Have you been declared disabled or determined to have limited capacity as established by the legislation of the Republic of Armenia or other states? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)
5.2 Have you ever been convicted of committing an intentional crime? ☐ No ☐ Yes, please provide details (including the circumstance where the conviction has been removed or expunged in accordance with the law)
5.2.1 Are you included in the lists of persons related to terrorism or proliferation of weapons of mass destruction published under or in accordance with the United Nations Security Council resolutions? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)
5.3 Are you deprived of the right to run positions in financial, tax, customs, commercial, economic or legal fields by a court award? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)
5.4 Have you ever been declared bankrupt, or do you have outstanding (unforgiven) liabilities, or do you have a bankruptcy application accepted by the court for proceedings? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)
5.5 Are you (or have you ever been) put into the dock by the Republic of Armenia's or another country's law machinery as an accused? ☐ No ☐ Yes, please provide details
5.6 Have you ever been subject to criminal liability for committing a crime as prescribed by the Criminal Law of the Republic of Armenia or criminal law of other states? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)
5.7 Have you been subject to administrative liability in the tax, customs, or financial field in the last 5 years? ☐ No ☐ Yes, please provide details (date (day/month/year), legal grounds)

5.8 Has the organization not mentioned in subpoint 1.2 of this Reference Information ever been declared insolvent or bankrupt in the course of your term or activity in the office (whether in the Republic of Armenia or abroad)? ☐ No ☐ Yes, please provide details
5.9 Has the organization mentioned in subpoint 1.2 of this Reference Information (hereinafter referred to as ‘the organization’) ever been declared insolvent or bankrupt in the course of your term or activity in the office (whether in the Republic of Armenia or abroad), OR has the financial performance of the organization operating in the territory of the Republic of Armenia deteriorated against the criteria established by the Board of the Central Bank of the Republic of Armenia? ☐ No ☐ Yes, please provide details
5.10 Have you in the course of your term as head of the organization been subject to any regulatory measure by the Central Bank of the the Republic of Armenia or the organization in the last 5 years? ☐ No ☐ Yes, please provide details
5.11 Have you been deprived of your qualification certificate (qualification) or have other disciplinary measures been applied to you in accordance with, and on grounds established by, relevant legislation that governs the activity of the organization and the activity of the organization(s) not mentioned in subpoint 1.2 of this Reference Information? ☐ No ☐ Yes, provide details (including the grounds for a deprived qualification certificate or applied disciplinary measures)
5.12 Has the organization operating in the territory of the Republic of Armenia or abroad experienced cases of registration, licensing, or permit rejections, or been subject to any regulatory measure, in the course of your term or activity in the office? ☐ No ☐ Yes, provide details (date (day/month/year), legal grounds, name of the authority that has rejected or applied a regulatory measure)
5.13 Have you left your previous job at the employer’s initiative on any of the grounds stipulated in Article 113, part 1, points 3, 5, 6, 8 and 9, of the Republic of Armenia Labor Code? ☐ No ☐ Yes, please provide details
5.14 Are the requirements set forth in relevant laws and regulatory instruments observed? ☐ No, please provide details ☐ Yes

6. Significant participation and affiliation

6.1 Indicate:

- information as required in the Table regarding those organizations and reporting issuers where you hold or have in the course of the last 5 years held significant participation in their statutory fund (capital)

Indicate your participation, starting from the largest you currently hold

(note that the clauses relating to reporting issuers in subpoints 6.1-6.3 shall be completed only by managers of investment service provider, regulated market operator, the central depository, fund custodian, as well as by individuals carrying out fund management activities on behalf of or within the fund manager, and the employee of the fund custodian)

Name of the organization (reporting issuer)	Time period (for a previously held participation, indicate the period of holding significant participation)	Size of participation (%)	Number of shares	Total amount (in AMD)

- Not applicable, if you do not have or have not had the participation as specified in this point

6.2 Indicate:

- information as required in the table regarding those organizations and reporting issuers where the parties, affiliated with you, hold or have in the course of the last 5 years held significant participation in their statutory fund (capital)

(note that the affiliation should be construed pursuant to the respective law that governs the activity of the organization mentioned in subpoint 1.1 and, for reporting issuers, pursuant to the Republic of Armenia Law “On the Securities Market”; in this point, the information about family members shall be completed only for the parents, spouse, children, sister and brother (if running a shared household))

Indicate your participation, starting from the largest you currently hold

Name of the organization (reporting issuer)	Time period (for a previously held participation, indicate the period	Size of participation (%)	Number of shares	Total amount (in AMD)

	of holding significant participation)			

- Not applicable, if there is no such affiliated person referred to in this point
- Not aware of, if you do not have the information referred to in this point

6.3 Indicate:

- information about the following persons who work or have worked in the financial system and/or in reporting issuers: parents, grandmother, grandfather, grandchild over 18, child over 18 and his/her spouse, sister, brother over 18 and their spouses and their children over 18, husband's parents, husband's child over 18

Name, surname	Time period (for persons having previously worked in the financial system and/or in reporting issuers, indicate the period of work in the respective organization (reporting issuers)	Form of affiliation with manager	Place of work	Position

- Not applicable, if there is no affiliated person referred to in this point

7. Cash (or other) liabilities

7.1 Do you have any cash or other liabilities in respect of the organization where you are going to work as its manager? ☐ No ☐ Yes, please provide details (amount, date, other)												
7.2 Do the parties affiliated with you have any cash or other liabilities in respect of the organization where you are going to work as its manager? ☐ No ☐ Yes, please provide details (amount, date, other) ☐ Not aware of												
7.3 Do you have (or have you had) any outstanding liabilities in respect of the organizations operating in the territory of the Republic of Armenia? ☐ No ☐ Yes, please provide details (name of the organization, amount, date, other)												
7.4. Do the parties affiliated with you have (or have they had) any outstanding liabilities in respect of the organizations operating in the territory of the Republic of Armenia? <i>(note that the affiliation should be construed pursuant to the respective law that governs the activity of the organization mentioned in subpoint 1.1 and, for reporting issuers, pursuant to the Republic of Armenia Law “On the Securities Market”; in this point, the information shall be completed only for the family members running a shared household or living together)</i> ☐ No ☐ Yes, please provide details (amount, date, other) ☐ Not aware of												
8. Other information												
8.1 Indicate: ☐ the following information about the individuals affiliated with you <i>(note that the affiliation should be construed pursuant to the respective law that governs the activity of the organization mentioned in subpoint 1.1 and, for reporting issuers, pursuant to the Republic of Armenia Law “On the Securities Market”; in this point, the information shall be completed only for the family members running a shared household or living together)</i> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 15%;">Name, surname</th> <th style="width: 15%;">Passport details</th> <th style="width: 20%;">Form of affiliation</th> <th style="width: 15%;">Place of work</th> <th style="width: 15%;">Position</th> <th style="width: 20%;">Place of residence, phone number</th> </tr> </thead> <tbody> <tr> <td style="height: 30px;"></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Name, surname	Passport details	Form of affiliation	Place of work	Position	Place of residence, phone number						
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☐ Not applicable, if there is no such affiliated person referred to in this point

8.2 Indicate:

☐ the following information about the legal entities affiliated with you

Name of the organization	Place/location	Form of affiliation	TPIN	Phone number (mobile, other)

☐ Not applicable, if there is no such affiliated person referred to in this point

9. Conflict of interests

9.1 Do you have affiliation with managers of the organization, referred to in point 1.1, its parent company or subsidiary?

☐ No
☐ Yes, please provide details

9.2 Do you have or have you, in the course of the last 5 years, had a professional or commercial relationship with the organization, referred to in point 1.1, its parent company or subsidiary?

☐ No
☐ Yes, please provide details

9.3 Please provide other information about what you think may be a potential conflict of interests (if any) and methods how to handle them

10. Do you think there is other material information that you would like to mention?

☐ No
☐ Yes, please provide details

11. Other documents

12. This point to be completed by board members of the bank and insurance company only

I have familiarized myself with the document “Guide to the Board Member Activity” as defined by Appendix 41 to Regulation 1 or Appendix 43 to Regulation 3/01

☐ Yes
☐ No

13. I assure that:

- a. the information contained in this document is true and complete; and
- b. the person meets professional adequacy standards and other requirements to manager as prescribed by law and regulations.

I hereby agree to the Central Bank of the Republic of Armenia contacting the relevant competent authorities to verify the authenticity of the information provided herewith, while adhering to the rules of confidentiality of information.

Date (day/month/year)

Signature of the manager presented for registration

*Affix sample
signature here*