

EXHIBIT B: PERSONNEL INFORMATION QUESTIONNAIRE

1. Principle of the Firm

Applicant's Name		Date	
Name of Principal			

B1: Legal Proceedings

Instructions

For each Principal, please complete and submit this Exhibit.

Please answer by ticking all of the following questions. If the answer to any question is "yes", furnish complete details on a separate sheet, attached to this exhibit. Include all pertinent information, including, name(s) under which charged, dates, locations, titles of proceedings, ticket numbers, fines and penalties (paid and unpaid), sentences, type of offense, dates of parole/probation, and relevant documents.

In answering the following questions, a "*substantial ownership interest*" in an organisation is considered to be an interest, direct or indirect, of 20% or more as reflected in either equity interests, voting interests, or profit interests. The term "senior management", generally refers to *meaningful participation in budget or investment decisions*.

1. Has any organisation, either while you were a member of senior management or when you had a substantial ownership interest, ever been indicted for, charged with, or convicted of any criminal offense involving fraud, breach of fiduciary duty or breach of trust?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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2. Has any organisation, either while you were a member of senior management or when you had a substantial ownership interest, ever been found liable, convicted or permanently or temporarily enjoined by a court, by reason of any act or practice involving fraud, breach of fiduciary duty or breach of trust?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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3. a) Are you now the subject of any investigation or disciplinary hearing or proceeding by a governmental agency, regulatory body, or professional association?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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- b) Have you ever been the subject of any investigation or disciplinary hearing or proceeding by a governmental agency, regulatory body, or professional association in connection with any matter, which resulted in an adverse finding or a restriction on your activities?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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4. a) Has any organisation, either while you were a member of senior management or when you had a substantial ownership interest, ever been the subject of any investigation or disciplinary proceeding by a governmental agency, regulatory body, or professional association?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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- b) Is any organisation of which you are currently a member of senior management, or in which you have a substantial ownership interest, now the subject of any investigation or disciplinary proceeding by a governmental agency, regulatory body, or professional association?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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5. Have you ever entered into an agreement concerning, or otherwise consented to any order or decree by a court, governmental agency or regulatory body in connection with, any securities law?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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6. Has any organisation, either while you were a member of senior management or while you had a substantial ownership interest, ever entered into an agreement concerning, or otherwise consented to any order or decree by a court, governmental agency or regulatory body in connection with any securities law?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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7. During the past 10 years, have you been a named defendant in any civil legal action involving commercial disputes or creditor's claims (including but not limited to debt collection lawsuit, foreclosure, receivership, and involuntary liquidation) of greater than RM50,000 (or equivalent in other currencies)?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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8. a) During the past 10 years, has any organisation, either while you were a member of senior management or when you had a substantial ownership interest, been a named defendant in any civil legal action involving commercial disputes or creditor's claims (including but not limited to debt collection lawsuit, foreclosure, receivership, and involuntary liquidation) of greater than RM50,000 (or equivalent in other currencies)?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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- b) If "yes", did the subject matter involve your personal conduct or fall within your area of responsibility?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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N/A	<input type="checkbox"/>
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- c) If the answer to question 8a is "yes", were you active in settlement negotiations or arbitration?

Yes	<input type="checkbox"/>
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No	<input type="checkbox"/>
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N/A	<input type="checkbox"/>
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9. a) Have you, as a result of your role as a member of senior management or as a member of the board of directors of any entity, been a named defendant in any civil legal action involving (i) shareholder litigation, (ii) fraud or misrepresentation, or (iii) breach of fiduciary duty?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
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- b) If “yes”, did the subject matter involve your personal conduct or fall within your area of responsibility?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
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- c) If the answer to question 9a is “yes”, were you active in settlement negotiations or arbitration?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
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10. Have you, in your individual capacity, ever been a named defendant in any civil legal action involving (i) shareholder litigation, (ii) fraud or misrepresentation, or (iii) breach of fiduciary duty?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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11. During the past 10 years, have you filed voluntarily, or had filed against you involuntarily, a bankruptcy petition?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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12. During the past 10 years, has any organization, either while you were a member of senior management or when you had a substantial ownership interest, filed voluntarily, or had filed against such organization involuntarily, a bankruptcy petition?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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13. Have you ever failed to pay when due any debt to the Government, or guaranteed by the Government (including but not limited to taxes, business loans, etc.)?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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14. Has any organisation, either while you were a member of senior management or when you had a substantial ownership interest, ever failed to pay, when due, any debt to the Government guaranteed by the Government (including but not limited to taxes, business loans, etc.)?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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Section B2: Business Experience and Education

1. Please include a résumé of relevant experience and education of the Principal, *with dates and addresses shown*. (The resume belongs in this Exhibit and in no other place.) A length of **two** pages is preferable, but do **not exceed three pages**, in type no **smaller than 11 pt. Arial**.

- Relate your business and professional experience during the past 10 years, as well as any prior experience that relates to your qualifications to manage investment fund. Give the title of each position, and describe the basic functions and responsibilities.
- Regarding education, list your degrees, major areas of study, and names and addresses of the institutions attended.
- If desired, you may also include any other information that would be considered relevant to demonstrating qualifications for being a Principal of your Fund.

2. References:

Provide two prior or current professional/character references from one or more of categories (A) through (F). Be sure to identify in which category a reference is being placed, and *do not provide more than one name from any single firm*. Also, do not provide a reference from someone who is a principal, employee, or member of any committee of the Applicant.

- A. Supervisors or partners;
- B. Associates (peers);
- C. Portfolio company presidents or chairpersons;
- D. Fund investors (if relevant to prior experience);
- E. General character references; and
- F. Shareholders or Board Directors of any financial intermediaries for which you have engaged in investment activities.

For each reference, please provide the following information.

- Name, title and company, if relevant
- State the dates (years) of the active relationship
- Very briefly state the context of the relationship
- Provide the address, phone numbers indicating (W) work, (H) home, or (M) mobile.

Please use a **two-column** table format. Column one should contain the name and contact information, and column two should provide the time period(s) and describe the nature of the relationship.

Section B3: Investment Track Record

Instructions

Given the significant differences among financial institutions and intermediaries and the great variety of ways in which to calculate returns on investment, it would be difficult or impossible to obtain specific rates of return from Applicant's past performance which would be directly comparable among Applicants.

It is assumed that the information provided on the Applicant and its Principal in the Questionnaire and Exhibits provides significant insight into the Applicant's and the Principal's track record in investment.

Within this context, please provide, attached hereto, any easily verifiable information on the past investment performance of the Applicant, how performance was calculated, and/or the role each Principal played in the Fund's success, which you feel may assist the Evaluation & Selection Committee in assessing your track record.

Please note that a separate item on the checklist of documents you are required to submit by the RFP is the most recent two years' Audited Financial Statements of the Applicant, in the case of an Applicant Firm.

Section B4: Declaration of the Principle

Instructions

The “Principal” is that person acting on the behalf of the Applicant and responsible for the preparation, quality, and accuracy of the Proposal. For each Applicant there must be a Principal. Below are instructions for submission of this Declaration of the Principal.

- (1) This declaration is to be signed, in **two originals**, and submitted in a **separate envelope** marked “Declaration of the Principal” then placed in the larger envelope containing the six copies of the Proposal. This Declaration of the Principal will be retained by SME Corp..
- (2) If any changes occur in your designation of the Principal after submitting your Proposal, two originals of a declaration to this effect must immediately be signed and submitted to:

Ecosystem Development Division
SME Corp. Malaysia
Level 7 Block C Platinum Sentral
Jalan Stesen Sentral 2
Kuala Lumpur Sentral
50470 Kuala Lumpur
(Attn: Sivarao Aparahu / Mokhzani Mohamad / Nurul Hasanah)

- (3) If, after the signing of the Agreement, the Applicant wishes to propose a Principal other than the two signatories to this Declaration of the Principal, a proposal containing all information in the Proposal relating to Principal must be submitted by the proposed Principal to the above office in two originals **prior to adding such person** as a Principal.

Declaration:

- (1) I am acting as Principal of the Applicant and hereby certify that all information submitted in connection with the Proposal and Exhibits is true and correct to the best of my knowledge and belief. I agree that all statements made in connection with the Proposal are considered material for the purpose of inducing the Evaluation & Selection Committee to select and appoint the Applicant.
- (2) If this Proposal is approved, I shall make every effort to ensure that the Applicant will operate the SME Co-Investment Partner Programme in full conformity with the Letter of Appointment and any other Key Agreements between the Applicant and SME Corp.

Name of Applicant	
Address of Applicant's Principal Offices	
Date of Submission	

INDIVIDUAL EXECUTION BY THE PRINCIPAL

Signature	
Printed Name	
Title	
Telephone	
Date	
Email	

**Declaration by the Chief Executive Officer of the Applicant Firm
(if applicable)**

I hereby certify that I have read the entire contents of the Proposal prepared by the above-named Principal and that, to the best of my knowledge and belief, all statements contained in the Proposal are true.

Signature	
Printed Name	
Title	
Telephone	
Date	
Email	

2. Key Personnel of the Firm

Please fill out the following table, listing the number of individuals in each job function. If individuals hold multiple job functions or responsibilities, only count them once under their main responsibility and please detail this in the “Notes” section at the bottom of the table.

Job Function	Number of Employees	Average Years of Experience	Average Years of Tenure
Compliance personnel			
Portfolio managers			
Research analysts			
Client service			
Marketing			
Other staff			
Total employees			

