

THE CAPITAL MARKETS DEVELOPMENT AUTHORITY ACT, 1996
APPLICATION FOR A LICENCE TO CONDUCT THE BUSINESS
OF A BROKER OR DEALER+

Name of Company:
.....Limited

Address:
.....

Registered Office:
.....

Date of Incorporation:
.....

Registration Number of Company:
.....

OR

Name of Individual Applicant:
.....

Address:
.....

Date of Birth:
.....

Occupation:
.....

We/I+ hereby apply for a licence to carry on business as a
.....
under the style+ .....
(state appropriate business and the style under which the business is to be carried out if
different from the name given above)

(a) State in detail the manner in which the applicant proposes to conduct the business for which the
applicant requires a broker or dealer's licence, including the types of securities in which the
applicant will be dealing and the procedure for the settlement of securities
transactions.....

(b) Securities Exchange of which Applicant is a Member .....

(c) Location and address of principal office
.....

FOR OFFICIAL USE ONLY
Application received on...../...../.....
Remarks:

(d) Details of capital structure<sup>+</sup> :

- (i) Nominal capital \$ .....
- (ii) Number of shares .....
- (iii) Paid up capital \$ .....
- (iv) Details of Assets and Liabilities (in case of individuals) \$ .....

(e) Shareholders<sup>+</sup> :

Address

Number of Shares

- 1. ....
- 2. ....
- 3. ....
- 4. ....
- 5. ....
- 6. ....
- 7. ....

(f) Directors<sup>+</sup> :

Address

Number of Shares

- 1. ....
- 2. ....
- 3. ....
- 4. ....
- 5. ....
- 6. ....
- 7. ....

(g) Has at least one director or, if an individual applicant, have you satisfied the minimum entry requirements and passed such examinations as prescribed by the Authority? If so please specify:

- (i) Name: .....
- (ii) Qualifications: .....

(h) Is any director of the applicant or, if an individual, is the individual a director of any other company or corporation or a partner in any other firm? If so, please give details of the company, corporation or firm, its incorporation or formation, nature of business, date and nature of appointment of the director or individual:

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.....

(i) Address of branch offices:

.....

.....

(j) Name and address of Chief Executive Officer:

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