

THE CAPITAL MARKETS DEVELOPMENT AUTHORITY ACT, 1996

APPLICATION FOR A LICENCE TO CONDUCT THE BUSINESS OF AN INVESTMENT ADVISER

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 an investment adviser's licence, highlight potential areas of conflicts of interest and explain how such conflicts will be resolved or mitigated
.....
.....

(b) Location and address of principal office:
.....
.....

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

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



(d) Names and addresses of Shareholders⁺ :

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

(e) Names and addresses of Directors:⁺

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

(f) Is any director of the applicant or, if an individual applicant, 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:

.....

(g) Address of branch offices:

.....
.....

(h) Name and address of Chief Executive Officer:

.....
.....

(i) Qualifications of Chief Executive Officer:

.....
.....

(j) Name and address of Custodian:

.....

(k) Application fee \$

.....

DECLARATION

(a) We are/I am⁺ aware that section 63 of the Act provides as follows:

“Every person who -

- (a) contravenes any provision of this Act or any requirement imposed under the provision of this Act or any rule or regulation made thereunder;

(b) furnishes for the purpose of this Act any information or any returns the contents of which is, to his knowledge, untrue or incorrect or misleading because of material omissions; or

(c) wilfully obstructs any member of the Authority or an officer or servant of the Authority in the performance of his duties under the provisions of this Act;

shall commit an offence and, on conviction, be liable to pay a fine which shall not exceed \$10,000 and or imprisonment for a term not exceeding 7 years or both”.

(b) We/I⁺ declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this _____ day of _____ 20_____

Signed:

.....)Director/⁺

.....)Director/⁺

.....)Secretary/⁺

OR

.....
(Individual Applicant)

* This form should be submitted in triplicate together with Forms 8, 9 and 10.

+ Delete or amend what is not applicable.
