

THE CAPITAL MARKETS DEVELOPMENT AUTHORITY ACT, 1996

STATEMENT ON DOCUMENTS TO ACCOMPANY APPLICATION FORM

- 1. Name of Company:
Address:
Registered Office:
Date of Incorporation:

OR

- Name of Individual Applicant:
Address:
Date of Birth:
Occupation:

I/WE enclose the following required documentation (where relevant) in support of our/my application for licence to conduct the business of broker/dealer/investment adviser/unit trust/mutual fund+

for official use only

- (a) In the case of applications by companies, two copies of:
(i) The memorandum and articles of association.
(ii) A statement listing the names of holding companies, subsidiary companies, associated companies or partnerships, in which the applicant has any interest.
(iii) A statement of the unaudited accounts for the period of accounting year ending not earlier than six months prior to the date of application and audited annual accounts for the preceding two years.
(iv) Evidence of security or equivalent bank guarantee lodged or to be lodged with a securities exchange in the case of broker or dealer licence;
(v) Statutory declaration required under Regulation 18 in the case of broker or dealer licence;
(vi) Statement of academic qualifications and employment history of all senior officers, directors and shareholders in the case of broker or dealer licence;
(vii) Originals or certified copies of relevant academic certificates
(b) In the case of applications by individuals, two copies of:
(i) a certified bank statement of applicant's relevant business account as at the end of the month immediately preceding, and as at 31st December of the two years immediately preceding date of application.
(ii) Evidence of security or equivalent bank guarantee lodged or to be lodged with a securities exchange in the case of broker or dealer licence;
(iii) A statement of the unaudited accounts for the period of the accounting year ending not earlier than six months prior to the date of application and audited annual accounts for the preceding two years for the relevant business.
(iv) Curriculum vitae including details of academic qualifications, employment history and names and addresses of two business referees.
(vi) Originals or certified copies of relevant academic certificates
(c) We/I+ enclose an application fee of \$_____.

2. **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)

+ Delete what is not applicable.
