

FIRST SCHEDULE

Form 1

Reg.3(3))

THE CAPITAL MARKETS DEVELOPMENT AUTHORITY ACT, 1996

**APPLICATION FOR APPROVAL OR RENEWAL OF APPROVAL TO
OPERATE AS A SECURITIES EXCHANGE**

1. Name of Company or Association:

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Address:

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Registered Office:

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Date of Incorporation or Formation:

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Number of Company or, if an Association, other Relevant Number:

.....

Number of members who will carry on business of dealing in securities independently
and in competition with each other:

.....
.....
.....

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

WE hereby apply for approval/renewal of approval* to operate as securities exchange and submit the following information for your consideration:

(a) Location of principal office

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(b) Details of capital structure:

(i) Nominal capital \$

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(ii) Paid up capital \$

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(c) Names and addresses of directors or similar officers:

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2.
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3.
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4.
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5.
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6.
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7.
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8.
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(d) Name and address of the Chief Executive Officer:

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2. We enclose two copies each of the following documentation required to accompany the application:

For official use only
Status:
Received/Not received

(a) The Memorandum and Articles of Association or other, constituting documents and the rules (including by-laws and regulations) of the securities exchange _____

(b) The listing requirements for the securities exchange _____

(c) The list of names and addresses of the members and owners of the securities exchange _____

(d) The list of companies listed with the securities exchange _____

(e) The audited annual accounts for the last three years of operation or the period since inception, if shorter, of the securities exchange. If the company has taken over existing operations of a securities exchange, please provide those relevant accounts _____

3. We also enclose the application fee of \$ _____

4. **DECLARATION**

(a) We are 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 declare that all information given in this application and in the attached annexures (if any) is complete, true and correct.

Dated this _____ day of _____ 20_____

Signed:

.....) Director/*

.....)Director/*

.....)Secretary/*

* Delete or amend as necessary.