

THE CAPITAL MARKETS DEVELOPMENT AUTHORITY ACT, 1996

APPLICATION FOR A LICENCE TO CONDUCT THE BUSINESS OF A REPRESENTATIVE OF BROKER OR DEALER OR 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

.....

.....

.....

(state appropriate business)

for

(state name of broker, dealer or investment adviser for whom the applicant intends to be a representative)

(a) Location and address of principal office of applicant:

.....

.....

(b) Details of capital structure⁺ :

(i) Nominal capital \$

(ii) Paid up capital \$

(iii) Other (in case of individuals) \$

FOR OFFICIAL USE ONLY

Application received on...../...../.....

Remarks:

(c) Names and addresses of shareholders (if applicable)⁺ :

- 1.
- 2.
- 3.
- 4.
- 5.

(d) Names and addresses of Directors (if applicable)⁺ :

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

(e) Address of branch offices (if applicable)⁺ :

.....
.....

(f) Name and address of Chief Executive Officer (if applicable)⁺ :

.....
.....

(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) If an individual applicant have you any experience in the securities industry? If so, please specify:

.....

(i) Do you represent any other broker or dealer or investment adviser? If so, please specify:

.....

(j) Application fee \$

DECLARATION

(a) We are/I am⁺ 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/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.
