

SCHEDULE 1

(Rule 1)

Application for Principal's Licence

1. Application is hereby made for the issue of a Principal's Licence under the Dealers in Securities (Licensing) Act, Cap. 70 and the following information is given in support thereof -

- (a) Full name of applicant: _____
- (b) Business nature of security: _____
- (c) Business address of applicant: _____

- (d) Occupation of applicant: _____
- (e) Date of birth: _____
- (f) Place of birth: _____
- (g) Country of residence: _____
- (h) 'Passport ID and National ID card of applicant (please attach)
- (i) 'Curriculum Vitae (attached with supporting apostille documents)
- (j) 'Email: _____
- (k) 'Skype: _____
- (l) *Website: _____
- (m) *IP address of business place: _____ ; _____
- (n) * Business telephone number: _____
- (o) * Business fax number: _____

2. Name in which licence is to be issued (if different from 1(a) above) -

3. Does the applicant hold, or has the applicant held, a licence to deal in securities in any jurisdiction outside Vanuatu -

If so, supply details _____

4. Has the applicant been a member of any stock exchange -

If so, supply details _____

5. Has the applicant been either -

- (a) refused a licence to deal in securities whether as principal or representative in any jurisdiction outside Vanuatu; or
- (b) refused membership of any stock exchange

If so, supply details _____

6. Has the applicant in Vanuatu or elsewhere -

(a) been convicted of any offence, other than a traffic offence.

If so, supply details _____

(b) had judgment been given against him in any civil proceedings, in which fraud was alleged.

If so, supply details _____

(c) been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors.

If so, supply details _____

(d) been refused a fidelity or security bond.

If so, supply details _____

(e) subject to an investigation by a law enforcement agency, regulatory authority or professional association or currently a defendant in civil litigation.

If so, supply details _____

(f) subject to a court order concerning financial obligations that have not been met.

If so, supply details

(g) found by any regulatory authority or professional association to have been engaged in any activity that has led to disciplinary action.

If so, supply details

(h) develop and implement a written anti-money laundering compliance program approved by a member of senior management

If so, supply details

I declare that all information given in this application and any supporting documents enclosed herewith is true and correct.

Signed

NOTE: Attention is drawn to section 16 of the Financial Dealers Licensing Act, [CAP 70] which provides as follows

"16. Any person who, in furnishing any information for any of the purposes of this Act or rules or orders made thereunder, makes any statement which, to his knowledge, is false in a material particular, shall be guilty of an offence and liable on conviction to a fine not exceeding VT 100,000 or to imprisonment for a term not exceeding 6 months, or to both such fine and imprisonment."

* Compulsory detail to complete.

SCHEDULE 2

(Rule 2)

Application for Representative's Licence

1. Application is hereby made for the issue of a Representative's Licence under the Financial Dealers Licensing Act, [CAP 70] and the following information is given in support thereof-

(a) Name of applicant: _____

(b) Business nature of security: _____

(c) Address of applicant: _____

(d) Occupation of applicant: _____

(e) Date of birth: _____

(f) Place of birth: _____

(f) Country of residence: _____

(g) *Passport ID and National ID card (attachment)

(h) Curriculum Vitae (attached with supporting apostille documents)

(i) *Email: _____

(j) *Skype: _____

(k) *Website : _____

(l) *IP address of business place: _____

(m) *Business Telephone: _____

(n) *Business Fax: _____

2. (a) Name and address of applicant's employer or principal -

(b) Period of employment or association with principal -

3. Does the applicant hold, or has the applicant held a licence to deal in securities in any jurisdiction outside Vanuatu -

If so, supply details _____

4. Has the applicant been a member of any stock exchange –

If so, supply details _____

5. Has the applicant been either -

- (a) refused a licence to deal in securities whether as principal or representative in any jurisdiction outside Vanuatu; or
- (b) refused membership of any stock exchange.

If so, supply details _____

6. Has the applicant in Vanuatu or elsewhere -

- (a) been convicted of any offence, other than a traffic offence.

If so, supply details _____

- (b) had judgment been given against him in any civil proceedings, in which fraud was alleged.

If so, supply details _____

- (c) been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors.

If so, supply details _____

- (d) been refused a fidelity or security bond.

If so, supply details _____

- (e) subject to an investigation by a law enforcement agency, regulatory authority or professional association or currently a defendant in civil litigation.

If so, supply details _____

- (f) subject to a court order concerning financial obligations that have not been met.

If so, supply details _____

- (g) found by any regulatory authority or professional association to have been engaged in any activity that has led to disciplinary action.

If so, supply details _____

I declare that all information given in this application and any supporting documents enclosed herewith is true and correct.

Dated this _____ day of _____, 20_____. _____ Signed _____

NOTE. Attention is drawn to section 16 of the Financial Dealers Licensing Act, Cap. 70, which provides as follows

"16. Any person who, in furnishing any information for any of the purposes of this Act or rules or orders made thereunder, makes any statement which, to his knowledge, is false in a material particular, shall be guilty of an offence and liable on conviction to a fine not exceeding VT100,000 or to imprisonment for a term not exceeding 6 months, or to both such fine and imprisonment."

CERTIFICATE OF PRINCIPAL

On the basis of due and diligent enquiry made of the background of the applicant named herein who is in my direct employment or acting for or on behalf of me, and other information available, I believe him to be of good character and reputation and to have the competence and experience to perform the function of a representative as set forth in the Act.

Dated this ____ day of ____ , 20 ____ .

Signed

[Principal's licence No. _____]

* Compulsory complete the detail.