

**APPLICATION  
FOR A FINANCIAL DEALERS RESIDENT MANAGER'S LICENCE**

**Please complete all sections as fully as possible, giving reasons for non-compliance if any, and attaching appendices where applicable.**

1. Name of applicant:

Address:

2. Date on which it is proposed to commence business in Vanuatu

3. If incorporated;

(a) Attach evidence of incorporation and a copy of the Memorandum and Articles of Association.

(b) Attach a list of all names, addresses and nationality of all shareholders.

In those instances where shares are held by a corporate body, the ultimate beneficial owner (UBO) must be disclosed.

(c) Attach curriculum vitae of all directors, managers and officers.

(d) Attach certified copy of passport for each manager, director and officers

(e) Attach certified copy of evidence of source of funds

(f) Attach certified copy of evidence of residence

(g) Provide name of partners and staff who will be directly involved in the management of the security dealers.

LAWS OF THE REPUBLIC OF VANUATU  
FINANCIAL DEALERS LICENSING ACT CAP 70  
Consolidated Edition 2021

4. If not incorporated, provide nationality and curriculum vitae of the applicant.
5. Attach three references including one from a lawyer/auditor.
6. Attach evidence that none of the persons listed in paragraphs 3(b) 3(c) and 4 has a criminal record.
7. Attach a list of all FDL companies that the applicant will be engaged to act as manager.
8. Attach a business plan and financial projection.
9. Attach evidence of PI insurance.
10. Attach copy of AML/CTF procedure manual
11. Attach evidence of the software system to be use for the management purposes.
12. Are any of the parties named in this application involved in any FDL entity in any other jurisdiction or has applied to any other authority to transact business in securities. If yes please provide details.

Yes

No

