

SCHEDULE 2

Application for Representative Licence

Application is hereby made for the issue of a Representative's Licence under the Dealers in Securities (Licensing) Act, CAP 70 and the following information is given in support thereof –

- 1) Full name of the applicant:
- 2) Date of Birth:
- 3) Place of Birth:
- 4) Country of residence:
- 5) Residential address:
- 6) Phone/ Fax and Email address:
- 7) Name of the Principal/Company to which you are acting as a representative:
- 8) Physical address of the Principal/company to which you are acting as a representative:
- 9) Physical address of where the representative activity would be carried out if differ from above:
- 10) Category of license held or being applied for by the Principal/ company:
A B C D
- 11) Does the applicant holds, or has held a license to deal in securities or as a representative in any jurisdiction outside Vanuatu? If yes please provide details:
Yes No
- 12) Has the applicant been refused a fidelity or security bond either in Vanuatu or elsewhere, if yes provide details: Yes No

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- 13) Has the applicant been either:-
- a) a member of any stock exchange in any jurisdiction, if yes provide details
Yes No
 - b) refused a license to deal in securities whether as principal or representative in any jurisdiction outside Vanuatu:
Yes No
 - c) refused membership of any stock exchange, if so provide details
Yes No
 - d) had its license cancelled by a regulatory authority in any jurisdiction, if so provide details
Yes No
- 14) Has the applicant been convicted of any offence, other than the traffic offence in Vanuatu or elsewhere? Yes No
- 15) Has the applicant been sued in any civil proceedings in which fraud was alleged?
Yes No
- 16) Has the applicant been declared bankrupt, or compounded with or made an assignment for the benefit of this creditors?
Yes No
- 17) Has the applicant been subject to an investigation by a law enforcement agency, regulatory authority or professional association or currently a defendant in civil litigation?
Yes No
- 18) Has the application been subject to a court order concerning financial obligation that have not been met?
Yes No

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19) Has the applicant been found by any regulatory authority or professional association to have been engaged in any activity that has led to disciplinary action?

Yes

No

20) Attach the following documents:

- a) Copy of CV;
- b) Certified copies of qualification;
- c) Certified copy of a passport;
- d) Certified copy of evidence of residential address, either a utility bill or phone bill;
- e) Certified copy of Police clearance certificate
- f) Two independent references including detail contact of referees.

This Application is made for the license specified above and it is certified that all the particulars contained in this application and in the documents accompanying it or otherwise in support are true and correct.

Dated this day of 202

Name of applicant:

Signed:

Designation:

Witness by a Commissioner of Oath / Notary Public

Name:

Occupation:

Address:

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”