



APPLICATION TO OPERATE AS A SECURITIES REPRESENTATIVE

Application Form

All questions must be answered fully.

Application is hereby made for the grant of a licence as a Securities Representative under the Financial Services Act and the following statements are made in respect thereof:

1. Name of individual:
2. Physical address:
3. Mailing address:
4. E-mail address:
5. Telephone numbers:
6. Details of educational and professional qualifications
7. Details of employment history (details of previous experience in the securities industry must be included):
8. Has the applicant:
 - a. been convicted of any offence, or are there any proceedings now pending which may lead to a conviction for any offence involving fraud or dishonesty?

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(If so, please provide details)
 - b. had judgment involving findings of fraud or other dishonesty, or violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against you, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgment or finding?

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(if so, please provide details)

- c. contravened any written law designed for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice by persons concerned in the provision of financial services or the management of companies or against financial loss due to the conduct of discharged or undischarged bankrupts?

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(if so, please provide details)

- d. been subjected to any form of disciplinary proceedings or action by any professional or regulatory body?

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(if so, please provide details)

9. Please attach the following documents:

- a. Copies of certificates in support of academic and professional qualifications.
- b. A letter from the employer recommending the application.
- c. Cheque for MK20,000.00 being non refundable licence application

I the undersigned do hereby certify that:

- 1. All the information given in response to and in support of the questions in this application is true and correct to the best of my knowledge and belief.
- 2. To the best of my knowledge and belief there are no other facts or information relevant to this application of which the Registrar should be made aware of and I hereby pledge to promptly inform the Registrar of any material change to this application which may arise while it is being considered.

Dated this.....day of.....20.....

Signature.....

Name.....

Notes:

1. All enquiries concerning the preparation, filing and status of this application should be made to The Director, Micro Finance and Capital Markets Supervision, Reserve Bank of Malawi. Upon completion the original and two duplicate copies of the application and all other attachments must be submitted to The Director, Micro Finance and Capital Markets Supervision, Reserve Bank of Malawi, P O Box 565, Blantyre, Malawi.
2. A non refundable licence processing fee of MK20,000.00 payable to the Reserve Bank of Malawi must be included with the application.

