**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 -

1. Full name of applicant:
2. Business nature of security:
3. Business address of applicant:
4. Occupation of applicant:
5. Date of birth:
6. Place of birth:
7. Country of residence:
8. 'Passport ID and National ID card of applicant (please attached)
9. 'Curriculum Vitae (attached with supporting apostille documents)

(j) 'Email:

(k) 'Skype:

(I) \*Website:

(m) \*IP address of business place: ;

(n) \* Business telephone number:

(o) \* Business fax number:

* 1. Name in which licence is to be issued (if different from 1(a) above) -
	2. Does the applicant hold, or has the applicant held, a licence to deal in securities in any
	jurisdiction outside Vanuatu -

If so, supply details

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

If so, supply details

Has the applicant been either -

5.

* + 1. refused a licence to deal in securities whether as principal or representative in any
		jurisdiction outside Vanuatu; or
		2. refused membership of any stock exchange

If so, supply details

6. Has the applicant in Vanuatu or elsewhere -

* + - 1. been convicted of any offence, other than a traffic offence.

If so, supply details ;

* + - 1. had judgment been given against him in any civil proceedings, in which fraud was
			alleged.

If so, supply details

* + - 1. been declared bankrupt, or compounded with or made an assignment for the benefit of
			his creditors.

If so, supply details

* + - 1. been refused a fidelity or security bond.

If so, supply details

* + - 1. 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

* + - 1. subject to a court order concerning financial obligations that have not been met.

If so, supply details

* + - 1. 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

* + - 1. 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.

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 VT
100,000 or to imprisonment for a term not exceeding 6 months, or to both such fine and
imprisonment."

\* Compulsory detail to complete.