**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.