**Application for Representative's Licence**

* + - * 1. Application is hereby made for the issue of a Representative's Licence under the Financial
				Dealers Licensing Act, [CAP 70] and the following information is given in support thereof-

Name of applicant:

Business nature of security:

Address of applicant:

Occupation of applicant:

Date of birth:

Place of birth:

Country of residence:

\*Passport ID and National ID card (attachment)

Curriculum Vitae (attached with supporting apostille documents)

\*Email:

(j) \*Skype:

(k) \*Website:

(I) \*IP address of business place:

(m) 'Business Telephone:

(n) \*Business Fax:

(a) Name and address of applicant's employer or principal –

(b) Period of employment or association with principal –

Does the applicant hold, or has the applicant held a licence to deal in securities in any jurisdiction
outside Vanuatu –

If so, supply details

Has the applicant been a member of any stock exchange –

If so, supply details

Has the applicant been either -

refused a licence to deal in securities whether as principal or representative in any
jurisdiction outside Vanuatu; or

refused membership of any stock exchange.

If so, supply details

Has the applicant in Vanuatu or elsewhere -

been convicted of any offence, other than a traffic offence.

If so, supply details

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

If so, supply details

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

If so, supply details

been refused a fidelity or security bond.

If so, supply details

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

subject to a court order concerning financial obligations that have not been met.

If so, supply details

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

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."

CERTIFICATE OF PRINCIPAL

On the basis of due and diligent enquiry made of the background of the applicant named herein who is
in my direct employment or acting for or on behalf of me, and other information available, I believe him
to be of good character and reputation and to have the competence and experience to perform the
function of a representative as set forth in the Act.

Dated this day of , 20.

 [Principal's licence No. ] Signed

\* Compulsory complete the detail.