LAWS OF THE REPUBLIC OF VANUATU FINANCIAL DEALERS LICENSING ACT CAP 70 Consolidated Edition 2021

APPLICATION

FOR A FINANCIAL DEALERS RESIDENT MANAGER'S LICENCE

Please complete all sections as fully as possible, giving reasons for non-compliance if any, and attaching appendices where applicable.

| 1. | Name of applicant | | | | | |
|-----|---|--|--|--|--|--|
| Add | dress | | | | | |
| 2. | Date on which it is proposed to commence business in Vanuatu | | | | | |
| 3. | If incorporated; | | | | | |
| (a) | Attach evidence of incorporation and a copy of the Memorandum and Articles of Association. | | | | | |
| (b) | Attach a list of all names, addresses and nationality of all shareholders. In those instances where shares are held by a corporate body, the ultimate beneficial owner (UBO) must be disclosed. | | | | | |
| (c) | Attach <u>curriculum vitae</u> of all directors, managers and officers. | | | | | |
| (d) | Attach certified copy of passport for each manager, director and officers | | | | | |
| (e) | Attach certified copy of evidence of source of funds | | | | | |
| (f) | Attach certified copy of evidence of residence | | | | | |
| (g) | Provide name of partners and staff who will be directly involved in the management of the security dealers. | | | | | |
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- 4. If not incorporated, provide nationality and <u>curriculum vitae</u> of the applicant.
- 5. Attach three references including one from a lawyer/auditor.
- 6. Attach evidence that none of the persons listed in paragraphs 3(b) 3(c) and 4 has a criminal record.
- 7. Attach a list of all FDL companies that the applicant will be engaged to act as manager.
- 8. Attach a business plan and financial projection.
- 9. Attach evidence of PI insurance.
- 10. Attach copy of AML/CTF procedure manual
- 11. Attach evidence of the software system to be use for the management purposes.
- 12. Are any of the parties named in this application involved in any FDL entity in any other jurisdiction or has applied to any other authority to transact business in securities. If yes please provide details.

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.

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Witness

| 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"

The application should be returned with the appropriate application fee to:

Commissioner
Vanuatu Financial Services Commission
Port Vila
Vanuatu

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