



Notice of Intention of Revocation of the Financial Dealers License.
Section 7A (5) of the Financial Dealers Licensing Act [Cap 70]

Take notice that unless cause is shown to the contrary in the form of justified written objections, the Financial Dealers Licence issued to the Company

NEPTUNE SECURITIES (V) LIMITED

Will be revoked at the expiry of 14 days on the following grounds:

- (a) Failure to operate from a physical premises located in Vanuatu.
- (b) Failure to maintain the following systems:
 - Filing system
 - Management and Accounting System
 - Business Continuity Plan
 - Trading Platform
- (c) Failure to employ local manager.
- (d) Failure to provide to the Commissioner with such information as required from time to time.

DATED this 11th day of December 2023.



BRANAN KARAE
COMMISSIONER