

FORM 2

**APPLICATION BY AN INDIVIDUAL FOR
INVESTMENT ADVISER LICENCE**

Application for an investment adviser licence under the Act is made as follows:

Note:

- (1) If space is insufficient to provide details, please attach annexure, and the annexure should be identified as such and signed by the signatory to this application.
- (2) This application must be accompanied by a detailed statement of the applicant's assets and liabilities and shall be signed by the applicant.

1. Personal particulars of the applicant

(a) Name of applicant:

(b) Full address and telephone number of the principal place at which the business of the applicant is or is to be carried on:

(c) Residential address:

(d) Address of place at which applicant's register under section 86 of the Act will be kept:

2. (a) Indicate area of proposed business for which the applicant requires an investment adviser licence:

advising others concerning securities,

issues or promulgates analyses or reports concerning securities,

pursuant to a contract or arrangement with a customer, undertakes on behalf of the customer (whether on a discretionary authority granted by the customer or otherwise) the management of a portfolio of securities for the purpose of investment.

(b) For each indicated area of proposed business, state in detail the manner in which the business will be conducted and the experience of the applicant and the management staff in that business.

(c) Describe in detail the organisational structure and internal control procedures which the applicant has adopted or proposes to adopt in the conduct of the business.

3. The type of customers with whom the applicant proposes to do business.

4. Is the business of investment adviser the principal business carried on by the applicant? (Answer "Yes" or "No". If "No", give details of the applicant's principal business.) _____

5. Does the applicant have an interest in one or more shares in any company the shares of which are quoted on a securities exchange, the aggregate of the nominal amount of which constitutes not less than 5% of the aggregate of the nominal amount of all the issued shares of the company? (Answer “Yes” or “No”. If “Yes”, give full details of the interest including names of companies and percentage of interest.) _____
6. Is the applicant a director of any company in [Territory] or elsewhere? (Answer “Yes” or “No”.) If “Yes”, using an annexure, give details of
- (a) names of the companies;
 - (b) places of incorporation; and
 - (c) the relevant interests.

(Answer the following questions “Yes” or “No” in space provided. If “Yes”, attach annexure giving all relevant particulars.)

- | 7. Has the applicant within the past 10 years | <i>Answer</i> |
|--|---------------|
| (a) been licensed or registered in any place under any law which requires licensing or registration in relation to dealing in securities or acting as an investment adviser? | _____ |
| (b) been licensed, registered or otherwise authorised by law to carry on any trade, business or profession in any place? | _____ |
| (c) been refused the right or restricted in the applicant’s right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place? | _____ |
| (d) been a member or partner in a member firm of a securities exchange? | _____ |
| (e) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange? | _____ |
| (f) been refused membership of any securities exchange? | _____ |

- (g) carried on business under any name other than the name or names shown in this application? _____
- (h) been convicted of any offence other than a traffic offence in [Territory] or elsewhere or are there any proceedings now pending which may lead to such a conviction? (If “Yes” attach annexure giving full details of the conviction(s) or proceeding(s).) _____
- (i) had judgement including findings in relation to fraud, misrepresentation or dishonesty been given against the applicant in any civil proceedings, in [Territory] or elsewhere? (If “Yes” attach annexure giving full details, including whether judgement is unsatisfied.) _____
- (j) been censured or disciplined by any professional body, society or association of which the applicant was or is a member? (If “Yes”, attach annexure giving full details, including name of the professional body, society or association.) _____
- (k) been declared bankrupt or compounded with or made an assignment for the benefit of the applicant’s creditors in [Territory] or elsewhere? _____
- (l) being engaged in the management of any company other than a company referred to in answer to question 6? _____
- (m) been refused a fidelity or surety bond in [Territory] or elsewhere? _____
- (n) been disqualified as a director, or been a director of a company that has gone into receivership or liquidation, in [Territory] or elsewhere? _____

8. Set out below details of the applicant's employment and business activities during the previous 10 years.

	<i>Name and address of employer (if self-employed, so state)</i>	<i>Nature of Business</i>	<i>Description of duties in relation to the employment or activity</i>	<i>Period of employment (give exact dates)</i>
1.				
2.				
3.				
4.				

9. Set out below details of two persons (who must not be related to the applicant, and neither of whom has any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past 5 years and of whom the Commission may enquire regarding the applicant's character and reputation.

	<i>Name</i>	<i>Address</i>	<i>Occupation</i>
1.			
2.			

10. Set out any additional information (including any formal qualifications or training and the name of the institution that conducted the course) considered relevant to this application:

11. I declare that all information given in this application and in the attached annexure (if any) are true and correct.

Dated this _____ day of _____

Signature