

Form 3

**APPLICATION FORM FOR BROKER'S/DEALER'S REPRESENTATIVE'S
LICENCE**

INFORMATION ON THE APPLICANT:

1. (a) Name:

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(b) Permanent Address/Present Address:

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(c) Age:

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(d) Nationality:

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(e) Contact Details:

Telephone Number:

Mobile Number:

Email address:

(f) Details of Broker's Examination completed:

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2. Full particulars of Licensed Dealer Applicant intends to represent:

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3. Has the applicant within the past 10 years:-

(a) been licensed or registered in any place under any law which requires licensing or registration as a broker? If answer is "YES" give details thereof:

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(b) been licensed, registered or otherwise authorised by law to carry on any trade, business or profession in any place? If answer is "YES" give details thereof:

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(c) been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific license, registration or other authority is required by law in any place? If answer is "YES" give details thereof:

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(d) been suspended from acting as a broker in any jurisdiction or been otherwise been disciplined by a securities exchange or any other regulatory authority? If answer is "YES" give details thereof:

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(e) been refused a broker's license in any other jurisdiction? If answer is "YES" give details thereof:

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4. Has the applicant:

(a) been known by any name other than the name or names shown in this application? If answer is "YES" give details thereof:

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(b) been convicted of any offence other than a traffic offence in Maldives or elsewhere or are there any proceedings now pending which may lead to such a conviction? If answer is "YES" give details thereof:

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(c) had judgment including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Maldives or elsewhere? If answer is "YES" give details thereof:

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(d) been declared bankrupt or compounded with or made an arrangement for the benefit of his creditors, in Maldives or elsewhere? If answer is “YES” give details thereof:

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Declaration

I am aware of the provisions of section 32 of the Maldives Securities Act relating to false statements in applications.

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

Note:

- (1) If space is insufficient to provide details, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.
- (2) This application must be accompanied by the Identity Card and the brokers Certificate.