

Form 4

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

Application is hereby made for the renewal of a Broker's/Dealer's Representative's license in respect of:

1 (a) Applicant's name:

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(b) Expiry date of license:

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(c) License No:

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2. Complete the following: (Answer "Yes" or "No" in space provided. If the answer is "Yes", give in detail all relevant particulars in the space provided).

(a) Since the last application:-

(i) Has the applicant 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?

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(ii) 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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(iii) 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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(iv) Has the applicant been disciplined by a Dealer or the Authority?

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(v) Has the applicant received any complaint by a client?

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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.

Date this..... day

of..... .20.....

Signature.....

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Name of Applicant

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 a last audited balance-sheet and profit and loss account certified as required under this regulation.