

Application Checklist for licenses under Regulation on Investment Advisers

Tick (✓) where appropriate

1. Investment Advisers 2. Investment Adviser Representatives

*Please complete this checklist (where applicable) and include this page as the cover sheet of the application			
#	Details (if applicable)	Remarks	✓
Individual (only new application should submit the following)			
1	Have a passed in an exam set by the authority or an exam accepted by the authority		
2	ID Card Copy		
3	Certificate Copies		
4	One (1) passport size photo		
Corporate			
1	Copy of Company Registration		
2	Last 2 years financial statements (if not the latest)		
3	Certificate copies of Directors and Executives		
4	ID Card copies of Directors and Executives		
5	CV's of Directors and Executive employees		
6	Copy of Company MOA and AOA		
7	Business proposal (Organizational Structure and responsibilities must be identified)		
Others			
1	If the applicant applying of investment adviser is an employee of the company, a document which states it.		
2	Clearance forms for (applicant of the investment)		

This part shall be completed by the primary contact for this application

Name: _____ Date: _____ Signature: _____
 Date of completion: _____

Official Use Only

Name: _____ Date: _____ Signature: _____