

ANNEX

Information/Documents to be submitted with respect to Application for “Self Regulatory Organisation”.

1	Duly dated and signed Application Form.
2	Prescribed Processing and/or Annual Fee(s).
3	Details of any other licence(s)/registration(s) which the Applicant holds and name of the licence(s) and issuing authority, and any restriction(s) imposed.
4	Submission of Applicant’s Constitution, internal rules and policies which are consistent with the relevant Act and any enactment applicable to such sector or industry, or part thereof.
5	Confirmation that the Applicant shall take the necessary steps to operate in accordance with the provisions of Part VII of the Financial Services Act 2007.
6	Details of the arrangements to be put in place with respect to the financial and administrative operations of the Applicant.
7	CV of senior officers, and Personal Questionnaire Form(s) for Directors, Managing Director/CEO, Compliance Officer, MLRO and Deputy MLRO (as applicable).