

ANNEX

**Information/Documents to be submitted with respect to Application for
“Foreign Investment Dealer (Equity Segment)”.**

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 authority under section 16(3) of the Financial Services Act 2007.
5. A statement from the relevant securities exchange that the foreign investment dealer will be
6. admitted to deal on the securities exchange if authorized by the Commission
7. A certified true copy of the agreement entered between the foreign investment dealer and the
8. foreign investment dealer agent.
9. A certified true copy of the business licence of the applicant.
10. Either a certificate of good standing from the relevant foreign regulatory body, if the applicant is
11. licensed or a statement from a lawyer authorized to practise law in the foreign jurisdiction
12. certifying that the applicant is legally entitled to carry out the functions of an investment dealer in that jurisdiction, if the applicant is not licensed.
13. A certified true copy of the certificate of incorporation of the applicant.
14. Undertaking from the foreign investment dealer agent that it will comply with Rule 7 of the Securities (Authorisation of Foreign Investment Dealers) Rules 2010.
15. Undertaking from Global Board of Trade Ltd that it will comply with Rule 5 of the Securities (Authorisation of Foreign Investment Dealers) Rules 2010.
16. A list of the documents submitted by the applicant to the relevant securities exchange.
17. Any other information that the Commission may deem necessary