

# THE FINANCIAL SERVICES COMMISSION

## APPLICATION FORM FOR

### FOREIGN INVESTMENT DEALER (EQUITY SEGMENT) *(Pursuant to Section 29 of the Securities Act 2005)*

**NAME OF APPLICANT**

**CONTACT DETAILS OF APPLICANT**

ADDRESS : .....  
.....  
PHONE NO : .....  
FAX NO : .....  
EMAIL : .....  
WEBSITE : .....

**FOR OFFICIAL USE**  
Applicants Should Not Write Below This Line

Date of Application

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FSC Code:

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| FSC |  | S |  | E |  | C |  | 5.3 |  |
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**Note:**

- (i) The information/documents required vide this Application Form and Annex must not be considered exhaustive. The FSC may request for such other information as it deems necessary with respect to the Application.
- (ii) The FSC reserves the right to amend the Application Form and Annex to reflect any change in relevant laws, regulations, rules and policy guidelines.
- (iii) Additional sheet(s) may be used, if necessary, to submit the required information.

**LEGAL STATUS OF THE APPLICANT**

**1. APPLICANT'S DETAILS**

|     |   |
|-----|---|
| 1.1 | <b>APPLICANT IS/SHALL BE A:</b><br><br><p style="text-align: right;"><i>Tick as appropriate (✓)</i></p> <p>Public Company <input type="checkbox"/>    Private Company <input type="checkbox"/>    Other (please specify) <input type="checkbox"/></p> <p style="text-align: right;">.....</p> |
|-----|---|

**2. CAPITAL STRUCTURE (as applicable)**

|     |   |                  |              |
|-----|---|------------------|--------------|
| 2.1 | Share Capital (at par value/at no par value) *<br><br>Stated Capital .....    |                  |              |
|     | Amount to be represented at no par value .....                                |                  |              |
| 2.2 | Types and Classes of Shares<br><i>(Specify whether issued and fully paid)</i> | Number of Shares | Amount^ (Rs) |
|     | .....   | .....            | .....        |
|     | .....   | .....            | .....        |
|     | .....   | .....            | .....        |
|     | .....   | .....            | .....        |
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|     | .....   | .....            | .....        |
|     | .....   | .....            | .....        |
|     | .....   | .....            | .....        |

\* Delete as appropriate

^ To specify, if denominated in a currency other than Mauritian rupees

**3. DETAILS OF THE FOREIGN INVESTMENT DEALER AGENT**

|     |                       |
|-----|-----------------------|
| 3.1 | NAME: .....           |
|     | .....                 |
|     | ADDRESS: .....        |
|     | .....                 |
|     | .....                 |
|     | .....                 |
|     | PHONE /FAX : .....    |
|     | .....                 |
|     | EMAIL/WEBSITE : ..... |
|     | .....                 |

**4. DETAILS OF THE SECURITIES EXCHANGE** (*where the applicant is admitted as member*)

|     |                       |
|-----|-----------------------|
| 4.1 | NAME: .....           |
|     | .....                 |
|     | ADDRESS: .....        |
|     | .....                 |
|     | .....                 |
|     | .....                 |
|     | PHONE /FAX : .....    |
|     | .....                 |
|     | EMAIL/WEBSITE : ..... |
|     | .....                 |

**5. DIRECTORS (as applicable)**

|  | <b>Full Name</b><br><i>(surname in block letters)</i> | <b>Contact Details</b><br><i>(Phone/Fax/Email)</i> |
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**6. SECRETARY (as applicable)**

|  | <b>Full Name</b> | <b>Address</b> | <b>Contact Details</b><br><i>(Phone/Fax/Email)</i> |
|--|------------------|----------------|--|
|  |                  |                |  |

**7. AUDITOR**

|  | <b>Full Name</b> | <b>Address</b> | <b>Contact Details<br/>(Phone/Fax/Email)</b> |
|--|------------------|----------------|--|
|  |                  |                |  |

**8. OFFICERS (Director/ CEO/ MD/ CFO/ CFC/ General Manager/ Manager/CoSec/ Partner/ Trustee/ Compliance Officer/ MLRO/ Deputy MLRO) [as applicable]**

|  | <b>Full Name &amp; Position<br/>(surname in block letters)</b> | <b>Contact Details<br/>(Phone/Fax/Email)</b> |
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**9. SUBSTANTIAL SHAREHOLDERS\*** (as applicable)

|  | <b>Full Name</b><br><i>(surname in block letters)</i> | <b>Address</b> | <b>%<br/>Share**</b> |
|--|---|----------------|----------------------|
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*\* As defined under Section 2 of the Companies Act 2001; \*\* To also specify Types and Classes of Shares*

**10. ULTIMATE BENEFICIAL OWNERS\*** (If different from details provided under Section 8)

|  | <b>Full Name</b><br><i>(surname in block letters)</i> | <b>Address</b> |
|--|---|----------------|
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*\* Means ultimate owner of the Company.*

**11. Documents to be submitted for each Controlling Shareholder and Ultimate Beneficial Owner \*\***

|                    |   | <i>Tick as appropriate</i> | ✓ |
|--------------------|---|----------------------------|---|
| <b><u>11.1</u></b> | <b><u>Individual</u></b>  |                            |   |
| 10.1.1             | Certified copy of National Identity Card / Valid Passport   |                            |   |
| 10.1.2             | Bank Reference from a recognized banking institution which has known the person for at least the last two years   |                            |   |
| 10.1.3             | Class of shares to be held by the person including the number of shares and respective amount   |                            |   |
| <b><u>11.2</u></b> | <b><u>Company</u></b>   |                            |   |
| 10.2.1             | Certified copy of Certificate of Incorporation/Registration and/or Licence  |                            |   |
| 10.2.2             | Certificate of Current Standing   |                            |   |
| 10.2.3             | Corporate Profile, Latest Annual Return and Audited Financial Statements  |                            |   |
| 10.2.4             | Class of shares to be held by the company including the number of shares and respective amount  |                            |   |
| <b><u>11.3</u></b> | <b><u>Trust</u></b>   |                            |   |
| 10.3.1             | Certified copy of Trust Deed  |                            |   |
| 10.3.2             | An indication of assets value held by the trust   |                            |   |
| 10.3.3             | Profile of the settlor/contributor, trustee and beneficiaries of the trust  |                            |   |
| 10.3.4             | For a discretionary trust: Confirmation that the FSC will be provided with the appropriate CDD documents on beneficiaries, as and when distributions are made |                            |   |
| <b><u>11.4</u></b> | <b><u>Limited Partnership</u></b>   |                            |   |
| 10.4.1             | Certified copy of Certificate of Registration, and Good Standing of the Limited Partnership   |                            |   |
| 10.4.2             | Profile and latest audited financial statements of the Limited Partnership  |                            |   |
| <b><u>11.5</u></b> | <b><u>Société</u></b>   |                            |   |
| 10.5.1             | Certified copy of ‘Statuts de Société’, and Accounting Records  |                            |   |
| 10.5.2             | Details of the principals   |                            |   |

\*\* *Controlling shareholder and ultimate beneficial owner refers to any person/entity who/which is entitled to exercise or control the exercise, either directly or indirectly, of 20 per cent or more of the voting power of the Applicant.*

**DECLARATION BY APPLICANT/ APPLICANT'S REPRESENTATIVE**

**I certify that the information furnished in this application and additional submission, as required in Annex hereto, is complete and correct to the best of my knowledge and belief.**

**I also undertake to notify the Financial Services Commission of any material change in information/documents submitted with respect to the above.**

**Name of Authorised Representative (BLOCK CAPITALS):**

.....

**Signature:** .....

**Date:** .....

**DECLARATION BY FOREIGN INVESTMENT DEALER AGENT**

**We certify that the information furnished in this application and additional submission, as required in Annex hereto, is complete and correct to the best of my knowledge and belief.**

**We also undertake to notify the Financial Services Commission of any material change in information/documents submitted with respect to the above.**

**Name of Foreign Investment Dealer Agent:**

.....

**Name of Authorised Representative: .....**  
**(BLOCK CAPITALS)**

**Name of Authorised Representative: .....**

**Date:** .....