

**Information/Documents to be submitted with respect to Application for “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. Certified copy of the resolution of the board of directors authorising two officers to sign the application. Note that the last page of the application form must also be signed by the respective officers.
5. Copy of constitutive documents.
6. Undertaking that the company will submit a copy of the manual of internal control and compliance procedures, within one month after the start of operation/licence.
7. Written confirmation shall be submitted within one month after the start of operation/licence, that the company has established system and procedures to prevent conflicts of interest, money laundering and financing of terrorism.
8. Personal Questionnaire Forms specified in the FSC Rules for every officer or proposed officer, shareholder and beneficial owner of the company.
9. Certified copy of the PII Cover of the company, or if not available, within one month after the start of operation/licence.
10. The company should seek the approval of FSC with respect to the appointment of its auditor pursuant to Section 55(2) of the Securities Act 2005.
11. Submission of authority under section 16(3) of the Financial Services Act 2007.