

THE FINANCIAL SERVICES COMMISSION

APPLICATION FORM FOR AUTHORISATION OF FOREIGN INVESTMENT DEALER (Pursuant to Section 29(3) 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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Date of Receipt:

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FSC Code:

FSC	S	E	C	
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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.

1. TYPE OF FOREIGN INVESTMENT DEALER (Tick as appropriate)

<i>Code</i>	<i>Type</i>	<i>✓(as appropriate)</i>
SEC-6.1	Foreign Investment Dealer (Full Service Dealer including underwriting)	
SEC-6.2	Foreign Investment Dealer (Full Service Dealer excluding underwriting)	
SEC-6.3	Foreign Investment Dealer (Broker)	
SEC-6.4	Foreign Investment Dealer (Discount Broker)	
SEC-6.5	Foreign Investment Dealer (Derivatives)	

2. DETAILS OF THE SECURITIES EXCHANGE (which is collecting the application)

2.1	NAME: ADDRESS: PHONE /FAX : EMAIL/WEBSITE :.....
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LEGAL STATUS OF THE APPLICANT

3. APPLICANT'S DETAILS

3.1	<p>APPLICANT IS/SHALL BE A:</p> <p 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 align="right">.....</p>
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4. CAPITAL STRUCTURE (as applicable)

4.1	<p>Share Capital (at par value/at no par value) *</p> <p>Stated Capital</p> <p>Amount to be represented at no par value</p>		
4.2	<p align="center">Types and Classes of Shares <i>(Specify whether issued and fully paid)</i></p>	<p align="center">Number of Shares</p>	<p align="center">Amount (USD)^</p>
	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>	<p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>

* *Delete as appropriate*

^ *To specify, if denominated in a currency other than USD*

5. SUBSTANTIAL SHAREHOLDERS* (as applicable)

	Full Name <i>(surname in block letters)</i>	Address	% Share**

** As defined under Section 2 of the Companies Act 2001; ** To also specify Types and Classes of Shares*

6. ULTIMATE BENEFICIAL OWNERS* (If different from details provided under Section 98)

	Full Name <i>(surname in block letters)</i>	Address

** Means ultimate owner of the Company.*

9. Documents/information to be submitted along with this Application Form

	<i>Tick as appropriate</i>	✓
1.	A statement from the securities exchange that the foreign investment dealer will be admitted to deal on the securities exchange if authorized by the Commission	
2.	A duly completed application form of the securities exchange.	
3.	A certified true copy of licence to perform investment dealer activities in a foreign jurisdiction.	
4.	To provide a link to the official website of the relevant regulator indicating the applicant's licencing or authorisation information as available in public domain.	
5.	Either a certificate of good standing from the relevant foreign regulatory body or a statement from a lawyer authorized to practise law in the foreign jurisdiction certifying that the applicant is legally entitled to carry out the functions of an investment dealer in that jurisdiction.	
6.	A certified true copy of the certificate of incorporation of the applicant.	
7.	A list of the documents submitted by the applicant to the relevant securities exchange (including assessment made by the securities exchange on the applicant and analysis made in line with AML/CFT framework - controls and F&P requirements).	

DECLARATION BY APPLICANT/ APPLICANT'S REPRESENTATIVE

I certify that the information furnished in this application and additional submission, as required in section 9 above, is complete and correct to the best of my knowledge and belief.

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

Name of Authorised Representative (BLOCK CAPITALS):

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Signature:

Date: