



## SECURITIES AND EXCHANGE COMMISSION

### CHECKLIST FOR APPLICATION FOR NEW APPLICANTS – INDIVIDUALS

<b>1.</b>	<b>APPLICATION</b>	
a.	Application Letter	
b.	SEC Application form for Licence (form 6 and form 3 individual investment adviser)	
c.	Prescribed licence fees	
	K4,000 for dealer's representative licence	
	K4,000 for investment adviser's representative licence	
	K10,000 for individual investment adviser and K3,334 for compensation levy	
<b>2.</b>	<b>PERSONAL DETAILS</b>	
a.	Curriculum vitae – Please include names of three referees and their current address (Not politically connected persons or family member or workmates – please see SEC Guidelines)*	
b.	Two reference letters in sealed envelopes (Please collect/ Standard letter for each from the SEC at point of collecting/ downloading application form)	
c.	Certified copies of certificate**	
d.	Proof of residential address (e. g original or certified copy of utility bill, council land rate, lease agreement, or letter from employer, etc)**	
e.	Certified copy of identity card**	
f.	Certified copy of work permit if not Zambian**	
g.	CMAZ membership	
h.	Proof of having completed a SEC approved course.	
<b>3.</b>	<b>FINANCIAL INFORMATION</b>	
a.	Latest statement of assets and liabilities (signed by owner)	

\*refers to paragraph 9.9 of the "SEC Guidelines on Minimum Fit and Proper Requirement of Competence and Capability for Applicants for Representatives Licenses"

\*\*certification of documents should be done by authorized commissioner of oaths

#### NOTE:

**THE SECURITIES & EXCHANGE COMMISSION WILL BE REQUESTING FOR VETTING FROM ZP, DEC, BOZ, ACC, PIA OR OTHER LAW ENFORCEMENT AGENCIES**

**Received by:**

.....  
Name Signature Date

**Checked by:**

.....  
Name Signature Date