



SECURITIES AND EXCHANGE COMMISSION

CHECKLIST FOR NEW APPLICATIONS – COMPANIES

1.	APPLICATION	TICK
a.	Application Letter	
b.	SEC Application form for License (Choose form applicable)	
	Form 2 in case of dealer's License	
	Form 4 in case of investment adviser License	
c.	Prescribed License fees	
	K20,000 for dealer's License and K3,334 for compensation levy	
	K10,000 for investment adviser's License and K3,334 for compensation levy	
2. COMPANY DETAILS		
a.	Certified copy of certificate of incorporation or certificate of registration**	
b.	Certified copy of share capital**	
c.	Certified copy of articles of association**	
d.	Proof of business address	
e.	Company's business plan	
3. FINANCIAL INFORMATION		
a.	Latest audited financial statements by a registered ZICA accounting firm***	
b.	Latest management accounts if audited financial statements are more than six months	
c.	Latest management accounts if audited financial statements are more than six months	
4. AUDITOR'S CONFIRMATION		
a.	Letter from auditors confirming that the applicant has appointed them to audit its books	
5. CAPITAL MARKETS ASSOCIATION		
a.	Proof of having joined a Capital Markets Association in Zambia	
6. DIRECTORS DETAILS		
a.	Certified copies of directors identity card (NRC or Passport or Driver's License)	
b.	Residential addresses for the directors/shareholders	
c.	Curriculum vitae for the directors/shareholders	
d.	Two names of referees and their current addresses for each director. These should provide appropriate reference letters addressed to the Commission*	

* refer to the "SEC Guidelines on Minimum Fit and Proper Requirements of Competence and Capability for Applicants for Representatives Licenses"

**certification of documents should only be done by authorised commissioners of oath

***currently does not apply to applicants for Investment Adviser's License

Received by:

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 Name Signature Date

Checked by:

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 Name Signature Date



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