

THE SECURITIES ACT
Laws of Zambia Cap. 354
(Section 21 (1))

APPLICATION BY COMPANY FOR DEALER'S LICENCE

Application is hereby made for a Dealer's Licence under the Act and the following statements are made in respect thereof:

Notes:

- (1) If space is insufficient to provide details, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.
- (2) This application must be accompanied by the last audited balance-sheet and profit and loss account certified as required by rule six of the Securities (Licensing and Fees) Rules, 1993.

PART 1

INFORMATION ON THE APPLICANT

1.
 - (a) Name of applicant:
 - (b) Registered office:
 - (c) Place of incorporation:
 - (d) Full address and telephone number of the principal place at which the business of the applicant is to be carried on:
 - (e) The authorised and paid-up capital of the applicant, including the types of shares issued:
 - (f) The details of shareholders of the applicant's, including the name, address, amount of shares being held and date of acquisition:
 - (g) Address of place at which applicant's record under *section twenty-eight* of the Act will be kept:

- (h) Set out as an annexure hereto details of each director and secretary showing full name, residential address, date of birth, office held and date of appointment:
2. State the nature of the principal business of the applicant:
3. (a) State in detail the activity and the manner in which the applicant proposes to conduct the business for which the applicant requires a dealer's licence:
(b) The type of clients with whom the applicant proposes to do business:
(c) Describe in detail the organisation structure and internal control procedures which the applicant has adopted or proposes to adopt for its proposed business.
4. Set out name and address of each person who, directly or indirectly, exercises or has power to exercise a controlling influence over the management and policies of the applicant other than those shown as directors:
5. Is any director or secretary of the applicant a director or secretary of any other corporation?
Using an annexure, answer "Yes" or "No" for each person; if "Yes", give details of:
(a) names of corporations;
(b) places of incorporation; and
(c) dates of appointment.

(For questions 6 to 8, answer "Yes" or "No" in space provided. If "Yes", attach annexures giving all relevant particulars.)

6. Has the applicant or any director or secretary of the applicant within the past 10 years-

Answer

- (a) been licensed or registered in any place under any law which requires licensing or registration in relation to dealing in securities?
(b) been licensed, registered or otherwise authorised by law to carry on any trade, business or profession in any place?
(c) been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place?

7. Has any director or secretary of the applicant within the past 10 years-

Answer

- (a) been a member or partner in a member firm of any securities exchange?
(b) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?
(c) been refused membership of any securities exchange?
(d) been known by any name other than the name or names shown in this application?

- (e) been convicted of any offence other than a traffic offence in Zambia or elsewhere or are there any proceedings now pending which may lead to such a conviction?
- (f) had judgement including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Zambia or elsewhere? (If "Yes", using an annexure, give full details, including whether judgement is unsatisfied.)
- (g) been declared bankrupt or compounded with or made an arrangement for the benefit of his creditors, in Zambia or elsewhere?
- (h) been engaged in the management of any corporation other than those referred to in answer to question 5?
- (i) been refused a fidelity or surety bond in Zambia or elsewhere?
- (j) been disqualified as a director, or been director of a company that has gone into receivership or liquidation, in Zambia or elsewhere?
8. Has any director or management staff of the applicant had any experience in performing the functions in relation to the proposed activity of the applicant referred to in question 3?
9. In relation to each director and secretary of the applicant, set out below details of the officer's employment and business activities, during the previous 10 years:
- | Name and address of | Period of | Description of employment |
|-------------------------------|---------------------------------------|---|
| Name of director or secretary | Employer (if self-employed, so state) | Duties of relation to the employment or activity (give exact dates) |
| | | |
10. Set out any additional information (including any formal qualifications or training of the directors or secretary of the applicant and the name of the institution that conducted the course) considered relevant to this application.
11. Set out below details of two persons with whom each director and the secretary of the applicant has had regular contact over the past 5 years and of whom the Commission may enquire regarding the character and reputation of the respective director or secretary.
- | Name of character referee | Occupation of character referees | Name of director or secretary in respect of whom enquiries may be made |
|---------------------------|----------------------------------|--|
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PART 2

MISCELLANEOUS

1. We are aware of the provisions of *section thirty* of the Act relating to fraudulent applications.
2. We declare that all information given in this application and in the attached annexures (if any) are true and correct.

Dated this day of 20 .

*Signature	Signature
(Name of Director)	(Name of Director/Secretary)**

*This application is to be signed by two directors, or a director and the secretary of the applicant.

**Delete whichever is inapplicable.