

# SCHEDULE 1

## Form 1

### APPLICATION FORM FOR DEALER'S LICENCE

#### INFORMATION ON THE APPLICANT:

1. (a) Name of applicant:

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(b) Registered office:

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(c) Full address and telephone number of the principal place at which the business of the applicant is to be carried on:

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(d) The authorised and paid-up capital of the applicant:

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(e) The details of shareholders of the applicant, including the name address, amount of shares being held and date of acquisition:

| Name | Address | Number of shares | Date of acquisition of shares |
|------|---------|------------------|-------------------------------|
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|      |         |                  |                               |

(f) Details of each director and secretary of the Company:

Name:.....  
Residential Address.....  
Date of Birth: .....  
Date of appointment: .....  
Office held: .....  
Educational qualifications: .....

Name:.....  
Residential Address.....  
Date of Birth: .....  
Date of appointment: .....  
Office held: .....  
Educational qualifications: .....

Name:.....  
Residential Address.....  
Date of Birth: .....  
Date of appointment: .....  
Office held: .....  
Educational qualifications: .....

2. (a) Brief summary of the Nature of the principal business of the applicant and proposed activities to be undertaken:

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(b) Describe in detail the organisational structure and internal control procedures which the applicant has adopted or proposes to adopt for its proposed business.

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3. 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:

| Full Name | Adress |
|-----------|--------|
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4. Is any director or secretary of the applicant a director of any other corporation?

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If the answer is YES” give details of:

| Name(s) of company | Place of Incorporation | Office held | Date of appointment |
|--------------------|------------------------|-------------|---------------------|
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5. Has the applicant or any director or secretary of the applicant within the past 10 years:-

(a) been licensed or registered in any place under any law which requires licensing or registration in relation to dealing in securities? If answer is “YES” give details thereof:

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(b) been licensed, registered or otherwise authorised by law to carry on any trade, business or profession in any place? If answer is “YES” give details thereof:

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- (c) been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific license, registration or other authority is required by law in any place? If answer is “YES” give details thereof:

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- (d) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange? If answer is “YES” give details thereof:

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- (e) been refused membership of any securities exchange? If answer is “YES” give details thereof:

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

- (a) been known by any name other than the name or names shown in this application? If answer is “YES” give details thereof:

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(b) been convicted of any offence other than a traffic offence in Maldives or elsewhere or are there any proceedings now pending which may lead to such a conviction? If answer is "YES" give details thereof:

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(c) had judgment including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Maldives or elsewhere? If answer is "YES" give details thereof:

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(d) been declared bankrupt or compounded with or made an arrangement for the benefit of his creditors, in Maldives or elsewhere? If answer is "YES" give details thereof:

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(e) been engaged in the management of any corporation other than those referred to in answer to question 4? If answer is "YES" give details thereof:

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(f) been disqualified as a director, or been director of a company that has gone into receivership or liquidation, in Maldives or elsewhere? If answer is "YES" give details thereof:

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7. Has any director or management staff of the applicant had any experience in performing the functions in this area? If answer is "YES" give details thereof:

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8. 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 5 years:

| Name of Director or secretary | Name and address of employer (if self-employed, so state) | Nature of business or activity | Description of duties in relation to the employment | Period of employment or activity (give exact dates) |
|-------------------------------|---|--------------------------------|---|---|
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9. 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.

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10. 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 Authority may enquire regarding the character and reputation of the respective director or secretary.

| Name of character referee | Address of character referee | Occupation of character referee | Name of director or secretary in respect of whom enquiries may be made |
|---------------------------|------------------------------|---------------------------------|--|
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**Note:**

- (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 a last audited balance-sheet and profit and loss account certified as required under this Regulation.
- (3) The application form must be signed by all the Directors and Company Secretary of the Company.

Declaration:

We are aware of the provisions of section 32 of the Maldives Securities Act relating to false statements in applications.

| <b>Number</b> | <b>Name of Director/Company Secretary</b> | <b>Signature</b> | <b>Date</b> |
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