

FORM 2
APPLICATION BY INDIVIDUAL FOR INVESTMENT ADVISER'S LICENCE
THE CAPITAL MARKETS AND SECURITIES ACT (CAP. 79)
(Section 36)

Application is hereby made for an investment adviser's licence under the Act and the following statements are made in respect thereof:

- (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 shall be accompanied by a detailed statement of the applicant's assets and liabilities and shall be signed by the applicant.

1. Personal particulars of the applicant:

- (a) Name of applicant
- (b) 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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- (c) Residential address:

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- (d) Address of place at which applicant's register under section 52 of the Act will be kept:

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- (e) Academic and professional qualifications:

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2. (a) Indicate area of proposed business for which the applicant requires an Investment Adviser's licence:

either: advises others concerning securities;

or: issues or promulgates analyses or reports concerning securities;

or: pursuant to a contract or arrangement with a customer, undertakes on behalf of the customer (whether on a discretionary authority granted by the customer or otherwise) the management of a portfolio of securities for the purpose of investment.

(b) For each indicated area of proposed business, state in detail the manner in which the business will be conducted and the experience of the applicant and his management staff in that business.

(Separate Annexure)

(c) Describe in detail the organisational structure and internal control procedures which the applicant has adopted or proposes to adopt in the conduct of his business.

3. The type of customers with whom the applicant proposes to do business. (Separate Annexure)

4. Is the business of investment adviser the principal business carried on by the applicant? (Answer either "Yes" or "No". If "No", give details of the applicant's principal business in a separate annexure.)

5. Does the applicant have an interest in one or more of the shares in any company the

shares of which are quoted on a securities exchange, the aggregate of the nominal amount of which constitutes not less than 5% of the aggregate of the nominal amount of all the issued shares of the corporation? (Answer either : "Yes" or "No". If "Yes" give full details of such interest including names of companies and percentage of interest in a separate annexure).

6. Is the applicant a director of any corporation in Tanzania or elsewhere? (Answer either "Yes" or "No") if "Yes", using an annexure, give details of—

- (a) Names or name of the corporation;
- (b) place or places of incorporation; and
- (c) the relevant interests.

(Answer questions by writing either "Yes" or "No" in space provided. If "Yes" attach annexures giving all relevant particulars.)

7. Has 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 or acting as investment adviser? *Answer*
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- (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 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?
- (d) been a member or partner in a member firm of a securities exchange?
- (e) been suspended from membership of any securities exchange of otherwise disciplined by a securities exchange?
- (f) been refused membership of any securities exchange?
- (g) carried on business under any name other than the name or names shown in this application?
- (h) been convicted of any offence other than a traffic offence in Tanzania or elsewhere or are there any proceedings now pending which may lead to such conviction? (If "Yes" attach annexure giving full details, of the conviction(s) or proceeding(s))
- (i) has judgement including finding in relation to fraud, misrepresentation or dishonestly been given against him in any civil proceedings, in Tanzania or elsewhere? (If "Yes" attach annexure giving full details, including whether judgment is unsatisfied.)
- (j) been censured or disciplined by any professional body, society or association of which he was or is a member? (If "Yes" attach annexure giving full details, including name of the professional body society or association.)
- (k) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors in Tanzania or elsewhere?
- (l) been engaged in the management of any corporations other than those referred to in answer to question 6?
- (m) been refused a fidelity or surety bond in Tanzania or elsewhere?
- (n) been disqualified as a director, or been a director of a company that has gone into receivership or liquidation, in Tanzania or elsewhere?

8. Set out below details of the applicant's employment and business activities during the previous ten years:

| Name and address of employer (if self-employed so state) | Nature of business | Description of duties in relation to the employment or | Period of employment or activity (give exact dates) |
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|-----------------|--|--|--|
| <i>activity</i> | | | |
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(Separate Annexure)

9. Set out below details of two persons (who shall not be related to the applicant, and neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Authority may enquire regarding the applicant's character and reputation.

| <i>Name</i> | <i>Address</i> | <i>Occupation</i> |
|-------------|----------------|-------------------|
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(Separate Annexure)

10. Set out any additional information (including any formal qualifications or training and the name of the institution that conducted the course) considered relevant to this application.

11. I am aware of the provisions of section 35 of the Act relating to false statements made in applications.

12. I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Signature

Dated this day of 20

