

**FORM 5**  
**APPLICATION FOR A REPRESENTATIVE LICENCE**  
**THE CAPITAL MARKETS AND SECURITIES ACT (CAP. 79)**  
**(Section 36)**

Application is hereby made for–

a Dealer's Representative's/an Investment Representative's Licence <sup>ix</sup>1 and the following statements are made in respect of the application.

1. (a) Applicant's name: .....  
Other names .....
- (b) Residential address .....  
.....  
Tel. No.: .....
- (c) Date of birth ..... Place of birth .....
- (d) No. of years applicant has resided in Tanzania .....  
Nationality .....
- (e) Occupation for which representative's licence is sought .....
- (f) Full name of principal .....
- (g) The full address at which the business of the principal is carried on  
.....  
.....  
.....  
Tel. No. ....
- (h) Nature of business of the principal .....  
.....  
.....
- (i) Address of place at which register under section 52 of the Act will be kept  
.....  
.....  
.....
- (j) Present remuneration arrangement with principal: salary, commission or both  
.....
- (k) Directorship in companies in Tanzania or elsewhere .....

2. (Answer either "Yes" or "No" in space provided. If "Yes" attach annexures giving all relevant particulars.) Has the applicant within the past ten years–

- (a) been licensed or registered in any law which requires licensing or registration to deal or trade in securities or act as investment adviser? *Answer* .....
- (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 shareholder in a member firm of any securities exchange? .....
- (e) been suspended from membership of any securities exchange or 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 in paragraph 1(a)? .....
- (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 a conviction? .....
- (i) has judgement including findings in relation to fraud, misrepresentation, or dishonesty been given against him in any civil proceedings in Tanzania or elsewhere? (If "Yes" attach annexure(s) giving full details, including whether judgment is unsatisfied.) .....
- (j) been refused a fidelity or surety bond in Tanzania or elsewhere? .....
- (k) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors, in Tanzania or elsewhere? .....
- (l) been disqualified as a director of a company, or been a director of a company that has gone into receivership or liquidation in Tanzania or elsewhere? .....

3. Has the applicant had any experience in performing the functions of a dealers' representative or investment representative?

(Answer either "Yes" or "No". If "Yes" attach annexure(s) giving all relevant particulars.)

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

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

(Separate Annexure)

5. 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>

(Separate Annexure)

6. Does the applicant have an interest in any one or more 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 percent of the aggregate of the nominal amount of all issued shares of the company? (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.)

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

(Separate Annexure)

8. I am aware of the provisions of section 54 of the Act relating to false statements made in applications.

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

Dated this ..... day of ..... 20.....

Signature .....  
(Applicant)

*Notes:*

- (a) This application should be accompanied by a certificate in or to the effect of the following form:

To the Authority

On the basis of due and diligent enquiry of the background of the applicant named in this form who is in my direct employment or acting for or on behalf of me, and other information available, I believe him to be of good character and reputation and to have the competence and experience to perform the function of a representative.

Dated this ..... day of ..... 20.....

Signature: .....

Name: .....

Capacity: .....

- (b) Subject to paragraph (c) of this Note, the Certificate should be signed by each licensee by whom the applicant is to be employed or for or by arrangement with whom he is to act.
- (c) Where the applicant is to be employed by or to act for or by arrangement with a licensee the Certificate shall be signed by a director or the secretary of that licensee.