

**FORM 6**  
**APPLICATION FOR RENEWAL OF REPRESENTATIVE'S LICENCE**

THE CAPITAL MARKETS AND SECURITIES ACT (CAP. 79)

Application is hereby made for the renewal of—

A dealer's representative's/an investment representative's <sup>x1</sup> licence and the following statements are made in respect of the application.

1. (a) Applicant's name .....
- (b) Expiry date of licence ..... Licence No. ....
- (c) Residential Address .....
- .....
- .....

(d) Present remuneration arrangement with principal: salary, commission or both.

2. (Answer either "Yes" or "No" in space provided. If "Yes" attach annexure giving all relevant particulars.) Since the last application has the applicant—

*Answer*

- (a) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange? .....
- (b) 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? .....
- (c) 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", using an annexure, give full details, including whether judgment is unsatisfied.) .....
- (d) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors, in Tanzania or elsewhere? .....
- (e) been engaged in the management of any corporation other than those referred to in the last application? .....
- (f) been a director of any corporation other than those referred to in the last application? .....
- (g) been refused a fidelity or surety bond in Tanzania or elsewhere? .....
- (h) been the subject of any disciplinary action taken by his firm? .....
- (i) been disciplined by any professional or other membership body?.....

3. I am aware of the provisions of section 52 of the Act relating to false statements in making this application.

4. 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* .....

Name of 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 made of the background of the applicant named in this form and who is in my direct employment or acting for or on behalf of me, and other information of a representative, 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 that 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-
- (i) a firm, the individual partners of which are licensees, the certificate should be signed by one such partner on behalf of all the partners;
- (ii) a licensee which is a company, by a director or the secretary of that company.

(c) .....  
*Chief Executive*

(d) .....  
*Capital*

(e) .....