



**APPLICATION FORM FOR REGISTRATION OF SECURITIES CLEARING,
SETTLEMENT, DEPOSITORY AND CUSTODIAL AGENCY UNDER THE
INVESTMENTS AND SECURITIES ACT 2007**

1 Registered Name: _____

2. Registered Address _____

3. Date of Incorporation _____

4. Previous title or name if different from that given in (1) _____

5. State reasons for the change in name _____

6. State type of and settlement Registration: Clearing and Settlement _____

Depository _____

Custodial _____

7. (i) State special statute(s) if any guiding your business.

(ii) Does transaction time vary with branches, if so, give details:

8 QUALIFICATION FOR PARTICIPATION AND USE OF FACILITIES

(a) State briefly requirements as to qualification for participation and use of facilities

(b) (1) State present number of participants and users of facilities (state categories)

(ii) No. of stock broking participants _____

(iii) No. of sub- brokers affiliated to or sponsored by stockbrokers _____

(iv) No. of other corporate users/participants _____

(v) No. of individuals participating and using facilities _____

(C) State criteria for eligibility of members of Council Office _____

(d) Is there any undertaking in force by participants and users of facilities serving on the council of the agency, and who are also directors of issuers participating or using facilities of the Agency to avoid conflict of interest in such dual capacity? If so, give details

9 CAPITAL STRUCTURE

Authorized N----- (-----Shares of N-----each)

Issued N----- (-----Shares of N-----each)

Paid-Up N----- (-----Shares of N-----each)

10 OPERATIONAL FACILITIES

(a) Indicate what facilities are provided by ticking where applicable below and also adding the remarks "available" or "to be provided" as the case may be.

(i) Strong rooms _____

(ii) Computers _____

(iii) Work stations _____

(iv) Telephones and fax _____

(v) Quotation board _____

(vi) Stock Price Electronic Display Devise _____

(vii) Stock Printers _____

(viii) Inquiry Display Equipment _____

(ix) Fire Proof Cabinets _____

(x) Circuit breaker _____

(xi) Back up facilities _____

(xii) Other facilities _____

(b) Describe briefly how the information gathering and distribution system employed by the Agency for the market as a whole: _____

(c) Does the agency have Software maintenance agreement? If yes, give details

11 **CLEARING AND SETTLEMENT PROCEDURES**

Describe the clearing and settlement procedures employed by the Agency:

12 **DEPOSITORY AND CUSTODIAL PROCEDURES**

Describe the depository and custodial procedures employed by the Agency

13 BRANCHES

(a) Addresses of Branches

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

14 (1) **INSPECTION OF PARTICIPANTS' ACTIVITIES**

(a) Do you perform inspectorate duties over your participants and users of your facilities?

(b) How often is the inspection done yearly on average? _____

(c) State briefly the purpose of inspection _____

(d) Has any of your participants or users of facilities within the last five years received any form of
reprehension arising from your inspectorate findings? If so, give details

2 (a) Is the Agency operating any compensation fund assuaging the public for failure of its
participants? If so, give details _____

(b) If not, what plan do you have establish one _____

15 COUNCIL OFFICIALS

| Name | Age | Title | Position Occupied | Date Employed | Terms of Employment |
|------|-----|-------|-------------------|---------------|---------------------|
| | | | | | |

16 *PRINCIPAL/EXECUTIVE OFFICER

| Name | Age | Title | Position Occupied | Date Employed | Terms of Employment |
|------|-----|-------|-------------------|---------------|---------------------|
| | | | | | |

* Principal Officers include Chief Executive, Deputy and Departmental Heads.

17. **AFFIRMATION** (To be completed under the Agency seal). We hereby affirm that the statements in 1-16 above together with attachments are to the best of our knowledge and belief true and correct.

Countersigned:.....signed.....
CHAIRMAN/PRESIDENT OF COUNCIL CHIEF EXECUTIVE OFFICER

NOTE:

- 1 In addition to the information expressly required, please furnish also any further material information necessary to make the information supplied above not misleading.

- 2 Where spaces provided in this form are not adequate, information required may be supplied on additional sheet duly certified.

- 3 The completed form should be accompanied by:
 - (a) Two copies of Memorandum and Articles of the Agency certified by the Corporate Affairs Commission;
 - (b) Rules and regulations of the Agency currently in force;
 - (c) Instruction and inspection manual of participants' activities;
 - (d) Code of conduct/ ethics for participants and staff;
 - (e) audited accounts of the Agency;
 - (f) Profile of the Agency including the organizational structure, members of the Governing Council and Principal/ Executive Officers of the Agency;
 - (g) Completed application forms for the registration of at least three (3) Principal /Executive officers of the Agency.