



**APPLICATION FORM FOR REGISTRATION OF CAPITAL TRADE POINT
OR BRANCHES UNDER SECTION 20 OF 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. (i) State special statute(s) guiding your business _____

7. **MEMBERSHIP**

(a) State briefly requirements as to qualification for membership:

(b) (i) State present number of members (state categories) _____

- (ii) No. of Stockbroking members _____
- (iii) No. of Sub- brokers affiliated to or sponsored by stockbrokers _____
- (iv) No. of other corporate members _____
- (v) No. of individuals in membership _____

(c) State criteria for eligibility of members of Council Office

(d) Is there any undertaking in force by members serving on the Council of the Capital Trade point and who are also directors of companies quoted on the Capital Trade point to avoid conflict of interest in such dual capacity? If so, give details _____

8. **CAPITAL STRUCTURE**

Authorized N..... (.....shares of N.....each)
 Issued N..... (.....shares of N.....each)
 Paid-up N..... (.....shares of N.....each)

9. **MARKET INFORMATION 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) Trading floor(s) _____
- (ii) Work Stations _____
- (iii) Telephones _____
- (iv) Quotation Board _____
- (v) Stock Price Electronic Display Device _____
- (vi) Stock Printers _____
- (vii) Inquiry Display Equipment _____
- (viii) Circuit Breaker _____

(ix) Other facilities _____

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

10. BRANCHES

(a) Addresses of Branches:

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

(b) Briefly describe the dealing links available among the trading floors in your branch network:

11. (1) INSPECTION OF MEMBERS ACTIVITIES

a) Do you perform inspectorate duties over your members?

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

c) State briefly the purpose of inspection:

d) Has any of your dealing members within the past 5 years received any form of
reprehension arising from your inspectorate findings? If so, give
details _____

(2) (a) Is the capital trade point operating any Compensation Fund for assuaging the
public for failure of its dealing members? If so give
details _____

(b) If not, what plans do you have to establish one? _____

12. COUNCIL OFFICIALS

| Name | Age | Title | Position occupied | Date employed | Terms of employments |
|------|-----|-------|----------------------|------------------|----------------------------|
| | | | | | |

13. *PRINCIPAL/EXECUTIVE OFFICERS

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

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

AFFIRMATION (To be completed under the Capital Trade point Seal)

We hereby affirm that the statements furnished in 1 – 13 above together with attachments (if any), 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 Association of the Capital Trade point certified by the Corporate Affairs commission.
 - (b) up-to date requirements;
 - (c) rules and regulation of the Capital Trade Point;
 - (d) instruction and inspection manual of members activities;
 - (e) code of conduct / ethics for members and staff;
 - (f) latest copy of audited accounts or statement of affairs signed by its auditors;
 - (g) profile of the CTP including the organizational structure, members of governing council and Principal / Executive Officers of the CTP promoters;
 - (h) completed application forms for the registration of at least three (3) Principal / Executive Officers of the Exchange of the CTP. Two of whom must be knowledgeable in capital market issues.