

Form 7

Rule 17

**THE SECURITIES ACT, 2010 APPLICATION FOR RENEWAL OF
REPRESENTATIVE'S LICENCE**

I. Notes:

1. Please read the explanatory notes and questions carefully before completing the application form.
2. All questions must be answered. If a question is not applicable, please mark "NIA." in the space provided. Should there be insufficient space for your answers, please attach annexure(s) that should be identified as such and signed by the signatory to this application.
3. Where there is an asterisk (*), please delete whichever is inapplicable.
4. Where there is a plus (+), you need to answer only if the information is different from that stated in the previous application.
5. Please tick (✓) in the relevant boxes where appropriate.

II. LICENCE APPLIED FOR

1. Application is hereby made for the renewal of:
 - (a) Dealer's Representative's Licence
 - (b) Investment Representative's Licence

for employment by or to act for or on behalf of:

----- (*Full
name of Principal*)

2. Has there been any change in the applicant's nature of appointment in the principal company since the last application? (a) Yes. Please state current appointment
(i) Agent; or (ii)
Employee (b) No.

III. PERSONAL PARTICULARS

1. Set out below personal particulars of the applicant.

1.1 Full name (in BLOCK LETTERS as stated in ID Mr/Miss/Mrs/Mdm/Dr	1.2 (a) Married name (if applicable) (b) Other name(s) (if any, e.g. alias)
1.3 Expiry date of licence (day/month/yr.) / /	1.4 Licence No.
1.5 Residential address	1.6 Home Tel. No.
1.7 If you have married since the last application, please state name of spouse and underline surname.	
1.8 For non-Swazis, please state whether you have become a Swazi resident since the last application.	
No	Yes

IV. OTHERS

1. Since the last application, has the applicant-

- (i) has been a director, partner or concerned in the management of a business that has been censured, disciplined, suspended or refused membership or registration by FSRA, any other regulatory authority, an operator of a market or a clearing facility, any professional body or government agency, whether in Swaziland or elsewhere;
- (ii) has been a director, partner or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, the licensed person was a director, partner or concerned in the management of the business, whether in Swaziland or elsewhere;
- (iii) has been declared insolvent in Swaziland or elsewhere;

- (iv) has been dismissed or asked to resign from office; employment; a position of trust; or a fiduciary appointment or similar position, whether in Swaziland or elsewhere;
- (v) has been subject to disciplinary proceedings by his current or former employer(s), whether in Swaziland or elsewhere;
- (vi) has been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Swaziland or elsewhere; and
- (vii) has been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Swaziland or elsewhere.

(Please attach annexures giving all relevant particulars if any of the answers to Questions 1(i) – 1(vii) is “yes”).

V. DECLARATION

1. I am aware that section 66 of the Financial Services Regulatory Authority Act, 2010 relating to false statements made in applications:
2. I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this Day of201..... Signature:

VI. CERTIFICATE

1. This certificate should be signed by a director or the secretary of the company by whom the applicant is employed or for or by arrangement with whom the applicant is acting.

To the Registrar of Capital Markets:

- (a) On the basis of due and diligent enquiry made of the background of the applicant named in this form who is in the direct employment or acting for or on behalf of us, and other information available, we believe him/her to be of good character and reputation and to have the competence and experience to perform the function of a representative.
- (b) We append below the details of the continuing education training, which the applicant has received in the preceding 12 months, including the title, date and duration of any courses attended, and enclose copies of all relevant certificates.

Dated this day of20.....

Signature:

Name:

Capacity:

Company: