

Form 'A'

**APPLICATION FOR A LICENCE/RENEWAL OF A LICENCE AS A BROKER OR
BROKER REPRESENTATIVE BY AN INDIVIDUAL WHO IS CARRYING ON OR WHO
INTENDS TO CARRY OUT THE BUSINESS OF SECURITIES**

TO: HON'BLE GOVERNOR
ROYAL MONETARY OF BHUTAN
THIMPHU.

I, of hereby apply for a licence/renewal as under the *Section I of Financial Institutions Act 1992* and *Part 2, Section 4 of the Control of Broker's Regulation 1993* and agree to undertake, in the event of my application being accepted, to abide by the rules and procedures as per the *Financial Institutions Act 1992 and other by-laws*.

2. The following documents are enclosed:-

(1) Two copies of the certificate of membership in a Stock Exchange where the application relates to a renewal of a licence.

(2) Two copies of a certificate of completion of training on "*Operational aspects of the Capital Market*" issued by Stock Exchange of Bhutan.

(3) Two copies of the annexure hereto duly completed.

(4) Two copies of authentication letter from my employer.

3. I confirm that the information supplied in the annexure to this form is correct.

4. Bank Receipt No. dated..... for Nu... .. is attached, being licence fee for

Yours faithfully,

.....
SIGNATURE OF APPLICANT

.....
DATE

ANNEXURE TO FORM 'A'

1. Name and Address of Applicant:

.....

2. Telephone No. :

.....

3. Nationality:

.....

4. Identity Card No. :

.....

5. Please tick for **“Yes”** and cross for **“No”**

- | | | | |
|-------|--|---------------|--------------|
| (i) | Have you ever been declared insolvent or bankrupt. | Yes
() | No
() |
| (ii) | Are you of sound financial standing. | Yes
() | No
() |
| (iii) | Have you ever been expelled or debarred from membership of any stock exchange licensed under the Financial Institution Act 1992. | Yes
() | No
() |

6. Are you a Director on the Board of any listed company? If so, please give details.

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7. Are you a shareholder in any company listed with the stock exchange. If so, please give details.

.....

.....
SIGNATURE OF APPLICANT

.....
DATE