



Application Checklist

Item	Check
1. Cover Letter	<input type="checkbox"/>
2. Copy of application form	<input type="checkbox"/>
3. Prescribed Application fee(s)	<input type="checkbox"/>
4. Details of Securities Experience and Securities Qualifications for Key Personnel	<input type="checkbox"/>
5. Copy of the Memorandum and Articles of Association, or other instrument constituting and defining the constitution of the applicant	<input type="checkbox"/>
6. Detailed Business Plan	<input type="checkbox"/>
7. Organizational structure chart	<input type="checkbox"/>
8. <i>Group</i> structure chart	<input type="checkbox"/>
9. Outline of the major sources of <i>group's</i> income	<input type="checkbox"/>
10. Details of any sub-contracting arrangements	<input type="checkbox"/>
11. List of companies with whom the applicant has or intends to have agency agreements	<input type="checkbox"/>
12. Systems and Controls Information	<input type="checkbox"/>
13. Information regarding the arrangements made to ensure the safety of client interest in the event of death, incapacity, holidays and illness.	<input type="checkbox"/>
14. Auditor letter of consent	<input type="checkbox"/>
15. For each, and every natural persons listed in paragraphs 19-21(a) of the application form, all of the following:	
a. Personal Questionnaire ;	<input type="checkbox"/>
b. 2 character references;	<input type="checkbox"/>
c. 1 reference verifying good financial standing; and	<input type="checkbox"/>
d. A police clearance certificate.	<input type="checkbox"/>
16. For each, and every Corporate Shareholder listed in paragraph 21(b) of the application form, either :	
a. Personal Questionnaire(s) for the beneficial owner(s); and	<input type="checkbox"/>
b. Audited Accounts as noted in paragraph 24(2); or	<input type="checkbox"/>
c. Evidence that it is traded on a recognised exchange.	<input type="checkbox"/>
17. Audited Accounts as noted in Section 24 of the Application Form	<input type="checkbox"/>
18. Evidence of Professional Indemnity Insurance	<input type="checkbox"/>