

FORM 4
APPLICATION FOR RENEWAL OF A DEALERS LICENCE OR FOR INVESTMENT
ADVISER'S LICENCE

THE CAPITAL MARKETS AND SECURITIES ACT (CAP. 79)
(Section 36)

Application is made for the renewal of:

A Dealer's Licence/Investment Adviser's Licence ^{iv}1

and the following statements are made in respect of the applicant:

- 1.– (a) Applicant's name:
(b) Expiry date of licence:
(c) Licence No:

2. Where the applicant is a company the particulars set out below must be given. (Answer by writing either "Yes" or "No" in space the provided. If "Yes" attach annexure(s) giving all relevant particulars.)

- (a) Since the last application: *Answer*
- (i) has there been a change in the shareholders of the applicant?
- (ii) has there been a change in the applicant's directors, secretary, senior management personnel or external auditor?
- (iii) has the applicant been convicted of any offence other than a traffic offence in Tanzania or elsewhere or are there any proceedings now pending which may lead to such a conviction?
- (iv) has any of the applicant's directors been a director of any company other than those referred to in the last application?
- (v) has the applicant taken any disciplinary action against any of its representatives?
- (vi) has the applicant received any complaint?
- (vii) has the applicant undertaken to conduct any material new business activity? If so, state the nature of the activity.
- (b) Please furnish details of any other event which has occurred and which is likely to have a significant effect on the applicant's business during the currency of the licence, if granted (including any legal claim against the applicant).

3. Where the applicant is an individual person please complete the following– (Answer by writing either "Yes" or "No" in space provided. If "Yes" attach annexure(s) giving all relevant particulars.)

- Since the last application has the applicant– *Answer*
- (a) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?
- (b) been convicted of any offence other than a traffic offence in Tanzania or elsewhere or are there any proceedings now pending which may lead to such a conviction?
- (c) has judgement including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Tanzania or elsewhere? (If "Yes", using an annexure, give full details, including whether judgement is unsatisfied.)
- (d) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors, in Tanzania or elsewhere?
- (e) been engaged in the management of any company other than those referred to in the last application?
- (f) been refused a fidelity or surety bond in Tanzania or elsewhere?
- (g) undertaken to conduct any material new business activity, and, if

so, state the nature of the activity?

(h) _____ been disciplined by any professional body or other membership.....
body?

4. I am/we are ^{v2} aware of the provisions of section 42 of the Act relating to false
statements in applications.

5. I/We ^{v3} declare that all information given in this application and in the attached annexure
(if any) is true and correct.

Dated this day of20

^{vii} 4 Signature.....

(Name of Director/Secretary) ^{viii} 5