

FORM NO. 3

(Regulation 13(1)(b))

**APPLICATION FOR REGISTRATION AS A  
SECURITIES COMPANY**

(Pursuant to section 53(1)(a) of the Securities Act, 2001)

To the Securities Commission.

In accordance with section 53(1)(a) of the *Securities Act, 2001*, we hereby apply for the registration of ..... as a securities company.

We attach to this application:

- (i) a certified copy of the Articles of Incorporation of the Company together with a certified copy of its certificate of incorporation;
- (ii) proof that prior to commencing trading on the stock exchange the Company will have a minimum paid up share capital of ..... dollars.

We are aware of the requirements related to securities companies under the *Securities Act, 2001* and the Regulations made thereunder and, provided approval is granted to this application, we give a joint and several undertaking that the Company will be operated in accordance with them.

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Yours faithfully

Signed .....

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Dated .....