**GRANT OF LICENCE AS A STOCK BROKER/STOCK DEALER**

LIST OF DOCUMENTS TO BE SUBMITTED FOR FINAL APPROVAL

* Not later than six (6) months from the date of obtaining in-principle approval, the Applicant is required to submit the following documents in order to obtain the licence as a Stock Broker/Stock Dealer:
1. A confirmation from the Exchange confirming that the applicant has satisfied all entry requirements stipulated in the Rules of the Exchange to be admitted as a Trading Participant of the Exchange and therefore a recommendation that the applicant be granted a licence as a Stock Broker/Stock Dealer.
2. Declarations by Key Management Persons and Investment Advisors relating to their fitness and propriety. Such declaration should be in the form of an affidavit as per the specimen provided in Schedule III in the Rules applicable to Stock Broker/Stock Dealers.
3. A copy of the internal compliance manual as set out in Schedule IV of the Rules applicable to Stock Broker/Stock Dealers.
4. A confirmation from the chief executive officer and a director of the Applicant confirming the implementation of an information processing system of the Applicant.
5. A confirmation from the chief executive officer and a director of the Applicant confirming the recruitment of adequate human resources along with the organizational structure of the Applicant with names and designations of the staff.
6. With regard to the Registered Investment Advisors, please provide details in the following format and attach certified copies in proof.

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| Full name | NIC/ Passport |
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1. Licence fee - Details regarding fees payable are available on the SEC Website. The cheque/ fund transfer in relation to the applicable fee should be drawn/ made in favour of the SEC and must accompany the aforesaid documents.
* Along with the aforesaid documents, the Applicant is required to inform the SEC of any change in particulars specified in the initial application submitted by the Applicant to the SEC.