**CHECKLIST FOR APPLICATION FOR NEW APPLICANTS – INDIVIDUALS**

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| **1.** | **APLICATION** | |
| *a.* | *Application Letter* |  |
| *b.* | *SEC Application form for Licence (form 6 and form 3 individual investment adviser)* |  |
| *c.* | *Prescribed licence fees* |  |
|  | *K5,333.60 for dealer’s representative licence* |  |
|  | *K5,333.60 for investment adviser’s representative licence* |  |
|  | *K13,333.60 for individual investment adviser and K4,444.80 for compensation levy* |  |
|  | | |
| **2.** | **PERSONAL DETAILS** | |
| *a.* | *Curriculum vitae – Please include names of three referees and their current address (Not politically connected persons or family member or workmates – please see SEC Guidelines)\** |  |
| *b.* | *Two reference letters in sealed envelops (Please collect/ Standard letter for each from the SEC at point of collecting/ downloading application form)* |  |
| *c.* | *Certified copies of certificate\*\** |  |
| *d.* | *Proof of residential address (e. g original or certified copy of utility bill, council land rate, lease agreement, or letter from employer, etc)\*\** |  |
| *e.* | *Certified copy of identity card\*\** |  |
| *f.* | *Certified copy of work permit if not Zambian\*\** |  |
| *g.* | *CMAZ membership* |  |
| *h.* | *Proof of having completed a SEC approved course.* |  |
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| **3.** | **FINANCIAL INFORMATION** | |
| *a.* | *Latest statement of assets and liabilities (signed by owner)* |  |

*\*refers to paragraph 9.9 of the “SEC Guidelines on Minimum Fit and Proper Requirement of Competence and Capability for Applicants for Representatives Licenses”*

*\*\*certification of documents should be done by authorized commissioner of oaths*

**NOTE:**

**THE SECURITIES & EXCHANGE COMMISSION WILL BE REQUESTING FOR VETTING FROM ZP, DEC, BOZ, ACC, PIA OR OTHER LAW ENFORCEMENT AGENCIES**

**Received by:** ……………………………. ……………………………… … ………………………

Name Signature Date

**Checked by:** ……………………………. ……………………………… … ………………………

Name Signature Date