

ANNEX

Information/Documents to be submitted with respect to Application for “Investment Dealer (Full-Service Dealer, Excluding Underwriting)”.

1	Duly dated and signed Application Form.
2	Prescribed Processing and/or Annual Fee(s).
3	Details of any other licence(s)/registration(s) which the Applicant holds and name of the licence(s) and issuing authority, and any restriction(s) imposed.
4	Applicant to specify whether it intends to provide custody services to clients.
5	Applicant to describe and demonstrate, with supporting documents or information, how it will satisfy its obligations under Part III of the Securities (Licensing) Rules 2007.