

# Form 2

## THE SECURITIES (REGISTRATION, LICENCING AND CORPORATE GOVERNANCE) RULES, 2010

RULE 15 (1)(a)

### APPLICATION FOR A LICENCE/RENEWAL OF SECURITIES (DEALERS) LICENCE, SECURITIES DEALER'S LICENCE (AUTHORISED DEALER)

Application is hereby made for the renewal of: A Securities Dealer's (Stockbroker/Authorised Dealer) s\* licence and the following statements are made in respect of the applicant:

1. (a) Applicant's name:.....
- (b) Licence No.:.....
- (c) Securities Dealing Firm of the applicant.....
- (d) Telephone; Cell.....Landline.....
- (e). Email Address.....

2 .The applicant should complete the following :( Answer "Yes" or "No" in space provided. If "Yes" attach annexures giving all relevant particulars.)Since the last application .

Has the applicant-

- (a) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?.....
- (a) been convicted of any offence other than a traffic offence in Zimbabwe or elsewhere or are there any proceedings now pending which may lead to such a conviction?.....  
.....
- (b) had judgment including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Zimbabwe elsewhere? (If "Yes", using an annexure, give full details, including whether judgment is unsatisfied.).....  
.....

- .....
- (d) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors, in Zimbabwe 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 Zimbabwe 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?.....
- .....

3 I am\* aware of the provisions of the Act relating to fraudulent applications.....

4. I\* declare that all information given in this application and in the attached annexure (if any) are true and correct.

Dated this.....day of.....20.....

\*\*Signature.....

.....

(Name of Applicant)

**The following documents should be submitted together with the application form**

**New Applications**

1. Birth certificates
2. National Identity card
3. 2 passport size colour photos
4. Detailed CV

5. Police clearance certificate
6. Academic and professional certificates-these include “O” and “A” level certificates, diploma/ degree certificates and transcripts. it is a requirement to have passed the following modules of the Registered Persons Examinations of the South African Institute of Financial Markets-
  - i) Introduction to International Capital Markets
  - ii) International Equity Market
  - iii) Bond Market
  - iv) Derivatives Market
7. Letter of undertaking from registered securities dealer attesting that applicant has the requisite experience.
8. Approval from a registered Securities Exchange
9. Proof of payment of fees -\$2000-00
10. Proof of networth of \$ 10 000.00

**Renewal of licence**

Proof of payment of fees- \$1500.00

**Payment of fees**

Invoices can be obtained at [fidelism@seczim.co.zw](mailto:fidelism@seczim.co.zw).