

R U L E S

No. 1 of 1977

THE PREVENTION OF FRAUD (INVESTMENTS) REGULATION (CAP. 224)

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1. These Rules may be cited as the Dealers in Securities (Licences) Rules 1977 and shall come into operation on the day upon which they are published by the Resident Commissioner causing a copy thereof to be exhibited at the Public Office of the Resident Commissioner.
2. An application for a principal's licence made under section 5(1)(a) of the Prevention of Fraud (Investments) Regulation ("the Regulation") shall be submitted to the Registrar of Companies in the form prescribed in the First Schedule.
3. An application for a representative's licence made under section 5(1)(b) of the Regulation shall be submitted to the Registrar of Companies in the form prescribed in the Second Schedule.
4. The fee of \$A 25 shall be submitted with every application for a principal's licence.
5. The fee of \$A 15 shall be submitted with every application for a representative's licence.

F I R S T   S C H E D U L E

(Rule 2)

Application for Principal's Licence

Application is hereby made for the issue of a Principal's Licence under the Prevention of Fraud (Investments) Regulation and the following information is given in support thereof -

- (a) Full names of applicant .....
- (b) Business address of applicant .....
- (c) Occupation of applicant .....
- (d) Date of birth .....
- (e) Place of birth .....
2. Name in which licence is to be issued (if different from (c) above -  
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7. Does the applicant hold, or has the applicant held, a licence to deal a licence to deal in securities in any jurisdiction outside the New Hebrides -

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If so, supply details.....  
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8. Has the applicant been a member of any stock exchange

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If so, supply details.....  
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9. Has the applicant been either -

- (a) refused a licence to deal in securities whether as principal or representative in any jurisdiction outside the New Hebrides;
- (b) refund membership of any stock exchange.

If so, supply details.....  
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10. Has the applicant in the New Hebrides or elsewhere -

- (a) been convicted of any offence, other than a traffic offence.

If so, supply details.....  
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- (b) had judgment been given against him in any civil proceedings, which fraud was alleged.

If so, supply details.....  
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- (c) been declared bankrupt, or compounded with or made an assignee for the benefit of his creditors.

If so, supply details.....  
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(b) Period of employment or association with principal

3. Does the applicant hold, or has the applicant held a licence to deal in securities in any jurisdiction outside the New Hebrides.

If so, supply details

4. Has the applicant been a member of any stock exchange

If so, supply details

5. Has the applicant been either -

(a) refused a licence to deal in securities whether as principal or representative in any jurisdiction outside the New Hebrides; or

(b) refund membership of any stock exchange.

If so, supply details

6. Has the applicant in the New Hebrides or elsewhere -

(a) been convicted of any offence, other than a traffic offence.

If so, supply details

(b) had judgment been given against him in any civil proceedings, in which fraud was alleged.

If so, supply details

(c) been declared bankrupt, or compounded with or made an assignment for the benefit of his creditors.

If so, supply details

(d) been refused a fidelity or security bond.

If so, supply details .....

I declare that all information given in this application and any su documents enclosed herewith is true and correct.

Date this day of 19

Signed .....

NOTE: Attention is drawn to section 17 of the Prevention of Fraud (Investme Regulation, which provides as follows:

"17. Any person who, in furnishing any information for any the purposes of this Regulation or rules or orders made the under, makes any statement which, to his knowledge, is fals in a material particular, shall be guilty of an offence and liable on conviction to a fine not exceeding one thousand dollars or to imprisonment for a term not exceeding six mo or to both such fine and imprisonment.".)

CERTIFICATE OF PRINCIPAL

On the basis of due and diligent enquiry made of the background of t applicant named herein who is in my direct employment or acting for or on beh of me, and other information available, I believe him to be of good character and reputation and to have the competence and experience to perform the funct of a representative as set forth in the Regulation.

Dated this day of 19

Signed .....

(Principal's licence No. ....).

MADE this 21st day of March, 1977

J.S. CHAMPION  
Resident Commissioner.

PUBLISHED and EXHIBITED at the Public Office of the Resident Commissioner.

Office Superintendent.