

RESERVE BANK OF FIJI



INVESTMENT ADVISER INDIVIDUAL LICENCE

CHECKLIST

REQUIREMENTS	COMMENTS								
<p>1. Application Forms and Fees:</p> <ul style="list-style-type: none"> • Complete application form: <ul style="list-style-type: none"> ➤ Form B5 • Payment of application fees: <ul style="list-style-type: none"> ➤ FJD \$319.37 VIP 	<p>Application fees must be submitted with application forms and all other required documents before the application can be assessed.</p>								
<p>2. Financial Backing:</p> <ul style="list-style-type: none"> • Must have a minimum net worth of FJD \$30,000. 	<p>To meet this requirement certified supporting documents are required as proof of net worth.</p>								
<p>3. Professional Qualification and Experience:</p> <ul style="list-style-type: none"> • Must have appropriate qualifications and experience. 	<p>Minimum RBF requirements are:</p> <ul style="list-style-type: none"> • Applicant must complete Fijian Securities Licensing Exam (<i>or equivalent</i>); <u>or</u> • Submit certified copies of academic transcripts and certificates for (capital markets) industry related Diploma(s); and • Submit detailed Curriculum Vitae to ascertain your experience relating to Fiji's capital markets industry. <p>Indicate the activities and categories of licence applied for from below and provide your experience under each:</p> <table style="width: 100%; border: none;"> <thead> <tr> <th style="text-align: center; width: 50%;">Activities</th> <th style="text-align: center; width: 50%;">Categories</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> (i) Advising clients </td> <td style="vertical-align: top;"> <input type="checkbox"/> A. Retail Investment Securities </td> </tr> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> (ii) Issuing/promulgating analyses or reports </td> <td style="vertical-align: top;"> <input type="checkbox"/> B. Pension/Superannuation funds </td> </tr> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> (iii) Portfolio management on behalf of clients </td> <td style="vertical-align: top;"> <input type="checkbox"/> C. Derivatives <input type="checkbox"/> D. Corporate Finance </td> </tr> </tbody> </table> <p>Please note that for the four (4) major categories of licence, an applicant can either engage in one of the three (3) or all activities depending on experience.</p>	Activities	Categories	<input type="checkbox"/> (i) Advising clients	<input type="checkbox"/> A. Retail Investment Securities	<input type="checkbox"/> (ii) Issuing/promulgating analyses or reports	<input type="checkbox"/> B. Pension/Superannuation funds	<input type="checkbox"/> (iii) Portfolio management on behalf of clients	<input type="checkbox"/> C. Derivatives <input type="checkbox"/> D. Corporate Finance
Activities	Categories								
<input type="checkbox"/> (i) Advising clients	<input type="checkbox"/> A. Retail Investment Securities								
<input type="checkbox"/> (ii) Issuing/promulgating analyses or reports	<input type="checkbox"/> B. Pension/Superannuation funds								
<input type="checkbox"/> (iii) Portfolio management on behalf of clients	<input type="checkbox"/> C. Derivatives <input type="checkbox"/> D. Corporate Finance								

RESERVE BANK OF FIJI



<p>4. Propriety:</p> <ul style="list-style-type: none">• 2 independent character references; and • Police Clearance.	<p>The two (2) references should be as follows:</p> <ul style="list-style-type: none">• 1 character reference; and• 1 professional reference relating to your experience in the capital markets industry. <p>Please organise for a police clearance report and the report should be sent directly to:</p> <p>Mr Seci Taleniwesi Manager Policy & Research Financial Institutions Group Reserve Bank of Fiji Pratt Street Private Mail Bag SUVA</p>
<p>5. Business Premises:</p> <ul style="list-style-type: none">• Must have suitably located and equipped premises to provide satisfactory service to the clients.	