

RESERVE BANK OF FIJI



INVESTMENT ADVISER REPRESENTATIVE 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 \$118.27 VIP 	<p>Application fees must be submitted with application forms and all other required documents before the application can be assessed.</p>								
<p>2. Professional Qualification and Experience:</p> <ul style="list-style-type: none"> • Must have appropriate qualifications and experience. 	<p>RBF minimum requirements are:</p> <ul style="list-style-type: none"> • Applicant must hold a diploma or certificate or higher qualification in economics, accounting or business related subjects from a tertiary institution approved by RBF; or • Applicant has successfully completed a program of study in securities approved by RBF; or • Applicant has been dealing in securities or has been engaged in giving advice on securities for a continuous period of at least two years. • Submit the following documents: <ul style="list-style-type: none"> (i) Certified copies of academic transcripts and certificates for capital markets industry related diploma or degree; and (ii) Detailed curriculum vitae to ascertain your experience relating to Fiji's capital markets industry. • Indicate the activities and categories of licence applied for from below and provide your experience under each: <table border="0" style="width: 100%; margin-top: 20px;"> <thead> <tr> <th style="text-align: center;">Activities</th> <th style="text-align: center;">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 </td> <td style="vertical-align: top;"> <input type="checkbox"/> C. Derivatives </td> </tr> </tbody> </table>	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	<input type="checkbox"/> C. Derivatives
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	<input type="checkbox"/> C. Derivatives								

RESERVE BANK OF FIJI



	<p style="text-align: center;">management on behalf of clients</p> <p style="text-align: center;">D. Corporate Finance</p> <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>
<p>3. Propriety:</p> <ul style="list-style-type: none"> • 2 References (at least <u>one</u> should be independent); • Police Clearance Report. 	<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 style="text-align: center;">Mr Seci Taleniwesi Manager Policy & Research Financial Institutions Group Reserve Bank of Fiji Pratt Street Private Mail Bag SUVA</p>