



RESERVE BANK OF FIJI

INVESTMENT ADVISER REPRESENTATIVE LICENCE

CHECKLIST

REQUIREMENTS	COMMENTS						
<p>1. Application Form and Fee:</p> <ul style="list-style-type: none"> • Complete application form: <ul style="list-style-type: none"> ➤ Form B5 • Payment of application fee: <ul style="list-style-type: none"> ➤ FJD \$118.27 VIP 	<p>Application fee must be submitted with application form 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's 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 data-bbox="941 1617 1461 1925" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;">Activities</th> <th style="text-align: center;">Categories</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">(i) Advising clients</td> <td style="text-align: center;">A. Retail Investment Securities</td> </tr> <tr> <td style="text-align: center;">(ii) Issuing/promulgatin</td> <td style="text-align: center;">B. Pension/Sup erannuation funds</td> </tr> </tbody> </table>	Activities	Categories	(i) Advising clients	A. Retail Investment Securities	(ii) Issuing/promulgatin	B. Pension/Sup erannuation funds
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	<p>g analyses or reports</p> <p>(iii) Portfolio management on behalf of clients</p> <p>C. Derivatives</p> <p>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 Sailasa Vadiga Manager Policy & Research Financial Institutions Group Reserve Bank of Fiji Pratt Street Private Mail Bag SUVA</p>