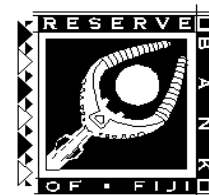


# RESERVE BANK OF FIJI



## INVESTMENT ADVISER INDIVIDUAL LICENCE

### CHECKLIST

REQUIREMENTS	COMMENTS										
<b>1. Application Form and Fee:</b> <ul style="list-style-type: none"> <li>Complete application form: <ul style="list-style-type: none"> <li>➤ Form B5</li> </ul> </li> <li>Payment of application fee: <ul style="list-style-type: none"> <li>➤ FJ \$293.00 (Plus VAT)</li> </ul> </li> </ul>	<p>Application fee must be submitted with application form and all other required documents before the application can be assessed.</p>										
<b>2. Financial Backing:</b> <ul style="list-style-type: none"> <li>Must have a minimum net worth of FJ \$30,000.00</li> </ul>	<p>To meet this requirement certified supporting documents are required as proof of net worth.</p>										
<b>3. Professional Qualification and Experience:</b> <ul style="list-style-type: none"> <li>Must have appropriate qualifications and experience.</li> </ul>	<p>Minimum RBF requirements are:</p> <ul style="list-style-type: none"> <li>Applicant must complete Fijian Securities Licensing Exam (<i>or equivalent</i>); <u>or</u></li> <li>Submit certified copies of academic transcripts and certificates for (capital markets) industry related Diploma(s); and</li> <li>Submit detailed Curriculum Vitae to ascertain your experience relating to Fiji's capital markets industry.</li> </ul> <p>Indicate the activities and categories of licence applied for from below and provide your experience under each:</p> <table> <thead> <tr> <th>Activities</th><th>Categories</th></tr> </thead> <tbody> <tr> <td>(i) Advising clients</td><td>A. Retail Investment Securities</td></tr> <tr> <td>(ii) Issuing/promulgating analyses or reports</td><td>B. Pension/Superannuation funds</td></tr> <tr> <td>(iii) Portfolio management on behalf of clients</td><td>C. Derivatives</td></tr> <tr> <td></td><td>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	(i) Advising clients	A. Retail Investment Securities	(ii) Issuing/promulgating analyses or reports	B. Pension/Superannuation funds	(iii) Portfolio management on behalf of clients	C. Derivatives		D. Corporate Finance
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<p><b>4. <i>Propriety:</i></b></p> <ul style="list-style-type: none"><li>• 2 independent character references; and</li><li>• Police Clearance.</li></ul>	<p>The two (2) references should be as follows:</p> <ul style="list-style-type: none"><li>• 1 character reference; and</li><li>• 1 professional reference relating to your experience in the capital markets industry.</li></ul> <p>Please organise for a police clearance report and the report should be sent directly to:</p> <p>Manager Policy &amp; Research Financial Institutions Group Reserve Bank of Fiji Pratt Street Private Mail Bag SUVA</p>
<p><b>5. <i>Business Premises:</i></b></p> <ul style="list-style-type: none"><li>• Must have suitably located and equipped premises to provide satisfactory service to the clients.</li></ul>	