



RESERVE BANK OF FIJI

INVESTMENT ADVISER REPRESENTATIVE LICENCE

CHECKLIST

REQUIREMENTS	COMMENTS				
1. <i>Application Form and Fee:</i> <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"> ➤ FJ \$108.50 (Plus VAT) 	Application fee must be submitted with application form and all other required documents before the application can be assessed.				
2. <i>Professional Qualification and Experience:</i> <ul style="list-style-type: none"> Must have appropriate qualifications and experience. 	RBF's minimum requirements are: <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 1659 1429 1848"> <thead> <tr> <th>Activities</th><th>Categories</th></tr> </thead> <tbody> <tr> <td>(i) Advising clients</td><td>A. Retail Investment Securities</td></tr> </tbody> </table> 	Activities	Categories	(i) Advising clients	A. Retail Investment Securities
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	<p>(ii) Issuing/promulgating analyses or reports</p> <p>(iii) Portfolio management on behalf of clients</p> <p>B. Pension/Superannuation funds</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. <i>Propriety:</i></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>Manager Policy & Research Financial Institutions Group Reserve Bank of Fiji Pratt Street Private Mail Bag SUVA</p>