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| **Investment Advisor's requirements**  | **Yes** | **No** |
| 1. Application letter | √ |  |
| 3. Copies of Memorandum and Articles of Association | √ |  |
| 4. Copy of Certificate of Incorporation |  |  |
| 5. Shareholding structure | √ |  |
| 5. Copy of Tax Clearance Certificate | √ |  |
| 6. Copy of Professional Indemnity Insurance Policy |  |  |
| 8. Bank confirmation reference | √ |  |
| 9. Police Clearance for Principal Officer and key personnel | √ |  |
| *10. Fit and Proper Officer Directors and key personnel*  |  |  |
| a) Completed questionnaire for principal officers and directors (key personnel) | √ |  |
| b) CVs and certified qualifications of all key personnel | √ |  |
| c) Tax Clearance for all key personnel |  |  |
| d) Certified statement of all assets and liabilities | √ |  |
| e) Letters from financial institutions you had dealings in the last two years | √ |  |
| 11. Business/client References |  |  |
| 12. Fees (M1,500 application and M5,000 annual fee) |  |  |
| *13. Business Plan* |  |  |
| a) Office location | v |  |
| b) Names of principal officers, shareholders and directors | √ |  |
| c) Information about advisor’s experience | √ |  |
| d) unaudited statements and financial projections |  |  |
| e) Target Market | √ |  |
| f) Platform – IT systems or software | √ |  |