



Capital Markets & Securities Authority

NOMINATED ADVISORS LICENSING PROCEDURE

In accordance with Regulation 6 of the Capital Markets Securities (Nominated Adviser) Regulation, 2008, applicants must submit a completed **Form NA1** together with appropriate supporting documents.

In addition to information that is specifically requested on this Form the applicant should submit:

1. In the case of a company, the company statutes (e.g. Memorandum and articles of association) and the certificate of incorporation
2. A diagram outlining the structure of the company
3. The applicant's audited accounts
4. **Form NA2** for each of the applicant; nominated adviser's representative (with any supporting documents)
5. The company's corporate finance compliance manual (please note that the applicant is required to update its compliance manual to reflect the requirements of the capital markets and securities (nominated adviser's) regulations, 2008 before submitting an application).
6. Details of the applicant's principal activities (and of any exceptional factors which have affected these activities)
7. A statement of the applicant's market position in these activities (where the applicant is active in an overseas market, please state the percentage of domestic offerings on each local market on which the applicant has provided corporate finance advice).
8. Details of its current trading and prospects
9. The business reasons for seeking approval as a nominated adviser
10. The extent of the applicant's business relationships with any existing nominated advisers or aim brokers
11. Details of any legal or arbitration proceedings active, threatened or pending against the applicant or any member of its group which may have a significant effect on the reputation of the applicant.

FEE STRUCTURE

Nominated Advisor fees in TZS

Application fees not refundable	1,000,000.00
Admission fee	3,000,000.00
Annual fees	3,000,000.00
Replacement of license	250,000.00

EGM Nominated Authorized Representatives fees in TZS

Application fees not refundable	250,000.00
Admission fees	
Annual fees	1,000,000.00

Overall Duration of License: 3 years