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| Registered Person Application  |
| Kindly fill out this form, enclose the required documents, and send them via e-mail to the Licensing Department atlicensing@sca.ae |
| Section | **Description** |
| 1. | Company information. |
| 2. | Information of candidate nominated for accreditation |
| 3. | Contact details of candidate nominated for accreditation |
| 4. | Position required for accreditation of nominated candidate  |
| 5. | Competency and qualifications. |
| 6. | Declaration form. |
| 7. | The "Smart Checklist" (a checklist of required documents for company use).  |

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| \* Important notice: Applicants shall meet all application requirements specified herein, necessary for obtaining a license within six (6) months from the date of submitting the application. The Securities and Commodities Authority (SCA) shall automatically cancel applications that have not been completed during this period, and a new application shall be submitted accordingly. \* **The Securities and Commodities Authority cannot be held responsible for any rights, obligations or any other consequences whatsoever, resulting from the cancellation of the application.**  |

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| 1. Company information: |
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| 1. Company name:
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| 1. Company activity(ies):
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|       |
| 1. Contact person’s name:
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|       |
| 1. Official e-mail address:
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|       |
| 1. Telephone number:
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|       |
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| 2. Accreditation candidate information: |
|  |
| 1. Full name:
 |
|        |
| 1. Gender:
 |
| Female [ ]  Male [ ]   |
| 1. Date of birth:
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|      /     /       |
| 1. Nationality:
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| 3. Contact details of person nominated for accreditation |
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| 1. Telephone:
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|       |
| 1. Mobile:
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|       |
| 1. E-mail:
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| 1. Position:
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| a. Accreditation candidate job title (please specify): |
| [ ]  General Manager/Executive Manager  |
| [ ]  Trading Manager |
| [ ]  Broker Representative |
| [ ]  Operations Manager |
| [ ]  Compliance Officer |
| [ ]  Money Laundering Reporting Officer |
| [ ]  Financial Analyst  |
| [ ]  Compliance and Risk Management Officer |
| b. Job title being used at the company (please specify): |
|       |
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| 1. Please specify the candidate's workplace address (for branches):
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|       |

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| 5. Competency and qualifications: |
| 1. Academic qualifications:
 |
| Country | **Graduation Date** | **University** | **Qualification** |
|       |      /     /      |       |       |
|       |      /     /      |       |       |
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|       |      /     /      |       |       |
| 1. Work experience and specialization certificates:
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| Country | **Duration**  | **Employer/Institution** | **Job Title/Certificate** |
|       |       |       |       |
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| 6. Accreditation candidate acknowledgment:  |
| I, the undersigned…………………………………….. Nationality: ………………………….. .In my capacity as……………………. of the company , do certify that: 1. I am a natural person, enjoying full legal capacity.
2. I have not been given custodial sentences for acts of moral turpitude, without being rehabilitated.
3. I will be fully engaged in the profession\*.
4. I have not ceased paying any commercial debts.
5. I have not declared bankruptcy.

I hereby certify that the above statements are true and correct.  |
| Signature  |

**\* Exempt from this condition is the general or executive manager at the financial consultancy and financial analysis company, provided that the company is licensed to practice activities other than financial consultancy and financial analysis.**

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| 7. The "Smart Checklist" (a checklist of required documents for company use). |
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| 1. Kindly enclose the following documents:
 |
| [ ]  Curriculum vitae.  |
| [ ]  Valid passport and residence visa copies.  |
| [ ]  Family Book copy (for UAE nationals). |
| [ ]  ID copy. |
| [ ]  Academic degree (university degrees issued abroad should be equalized from the UAE Ministry of Higher Education and Scientific Research). |
| [ ]  Work experience certificates (should confirm the completion of the required experience duration according to the system). |
|  [ ]  A letter of good standing from the candidate's bank (Inside or outside UAE) |
|  [ ]  Valid criminal record certificate.  |
|  [ ]  Signed declaration form.  |
|  [ ]  Professional certificates (if any). |
|  |
| Authorized signatory      | **Date**     /     /      |
| Signature | **Company stamp** |