

Notification and Certification Forms

Securities Act, 2007



FINANCIAL SERVICES AUTHORITY

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Introduction

In an effort to facilitate the ongoing obligation of licensees under the Securities Act, 2007 (the Act”) regarding the various notices to be submitted to the Financial Services Authority (“the Authority”) and the declarations to be submitted upon renewal of licences, the Authority has produced this document consolidating the forms of such notices and declarations.

This document aims to facilitate the accessibility of such forms and declarations with the aim of improving the service delivered to licensees.

The forms for notices and certification contained in this document include:

- Notice of Place at which Register is to be kept
- Notice of change of place of business and change of place at which register is kept
- Notification of Cessation of Business
- Notification of change of representative’s employer and notice of change of place at which register is kept
- Licence Renewal Compliance Certificate
- Notice of Outsourcing of Compliance

NOTICE OF PLACE AT WHICH REGISTER IS TO BE KEPT¹

(section 80(1) of the Securities Act)

1. Name	
2. Capacity in which section 79 of the Act applies	
3. Registered/ Residential address	
4. Telephone No	
5. Business address	
6. Work No.	
7. Name of employer (if any)	
8. Place at which record is to be kept	
9. Date of commencement of keeping of register	

Dated this _____ day of _____

Signature: _____

Name: _____

Capacity: _____

¹ This is to be completed by Securities Dealers, Investment Advisors and each of their representatives (as applicable).

**NOTICE OF CHANGE OF PLACE OF BUSINESS AND
CHANGE OF PLACE AT WHICH REGISTER IS KEPT**

1. Name of licensee	
2. Type of licence held	
3. Licence number	
4. Former address of place of business	
5. New address of place of business	
6. Date of change of place of business	
7. Former address of place at which register was kept	
8. New address of place at which register is kept	
9. Date of change of address of place at which register is kept	

Dated this _____ day of _____

Signature: _____

Name: _____

Capacity: _____

NOTIFICATION OF CESSATION OF BUSINESS

Name of licensee:	
Type of licence held:	
Licence number:	

Notice is given that on the _____ day of _____, business ceased to be carried on in Seychelles by the above-mentioned licensee in respect of which he was licensed to carry on business.

Dated this _____ day of _____

Signature: _____

Name: _____

Capacity: _____

**NOTIFICATION OF CHANGE OF REPRESENTATIVE'S
EMPLOYER AND NOTICE OF CHANGE OF PLACE AT
WHICH REGISTER IS KEPT**

Name of licensee	
Type of licence held	
License Number	
Residential Address	

Notice is given that on the _____ day of _____ the licensee will cease to be a representative of _____ and that from the _____ day of _____ the licensee will be a representative of _____ whose principal place of business is at _____.

Former address of place at which register was kept	
New address of place at which register is kept	
Date of change of address of place at which register is kept	

Dated this _____ day of _____

Signature: _____

Name: _____

Capacity: _____

Licence Renewal Compliance Certificate

To: The Financial Services Authority

I/We, _____, certify that I/we are not in breach of any duties or other obligations imposed on us under the Securities Act, 2007 ("the Act").

I/We undertake to continue to comply with our duties and other obligations under the Act.

Dated _____

Signature _____

Name _____

Director _____

For and on behalf of _____

Name of licensee company _____

NOTICE OF OUTSOURCING OF COMPLIANCE

1. Details of Licensee

Name:	
Licence type:	
Licence Number:	
Registered Address:	

2. Reasons for Outsourcing of Compliance

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3. Details of proposed service provider

Name:	
Company promoting the Service Provider:	
Residential Address:	
Business Address:	
Passport or ID No :	

CONSENT

By signing and submitting this application form you hereby understand and consent that in the event that the application is successful the Financial Services Authority may publish on its website or other publications, the name of the approved person.

DECLARATION

I, (insert name of applicant) holding Passport No: (insert Passport number), a proposed compliance officer of (insert name of licensed entity), do hereby solemnly and sincerely declare that:

- (a) I have read and understood Section 23 of the Financial Services Act, 2013 pertaining to the compliance function of a licensed entity and Codes on Outsourcing of Compliance:
- (b) to the best of my knowledge and belief in making this declaration, that I am a fit and proper person and have adequate qualifications and working experience to undertake the compliance function,
- (c) the information given in this declaration is true and correct,
- (d) I understand that if it is found that I have made a false declaration, I may be disqualified from acting in the capacity mentioned above.

Signature: _____

Name: _____

**Company
(if applicable):** _____

Applicant: _____

Witness: _____

Name: _____

Address: _____

Occupation: _____