

## LICENSE RENEWAL APPLICATION CHECKLIST FOR LICENSED PERSONS

### Documents required to be submitted for license renewal

ITEMS TO BE SUBMITTED	EXPLANATION
1) Cover letter	A cover letter detailing all documents accompanying the application.
2) Completed Licence renewal application forms (Note these vary depending on license you are applying for)	Ensure you are using the right form. Forms can be obtained from CMA website under license applications and must be appropriately signed.
3) Report on closure of current and prior year CMA inspections findings	
4) Business plan for the licensing year being applied for (Product/service description, target market description, description of competitive environment, strategy to execute plan, financial sustainability of Business Plan, Business Risks)	
5) Company Annual returns	
6) Internal Audit Reports	
7) Current Audited financial statements	
8) Current Management letter	
9) Evidence of payment of License renewal fees (refer to the License renewal notice)	
10) Professional Indemnity Insurance (if any)	
11) Report on Board Evaluation carried out	
12) Report on training of Directors in corporate governance	

### NOTE:

1. No application will be received if it is not accompanied by the relevant documents and does not meet all the requirements of the Capital Markets Laws
2. The Authority may ask for additional information in the course of review of the application.