



**MALTA STOCK EXCHANGE  
PROSPECTS**

**CORPORATE ADVISOR  
ADMISSION CHECK LIST**

February 2016

No.	Rule Reference	Document/Information	(Kindly Tick as appropriate)			Remarks
			Y	N	N/A	
-	-	-	Y	N	N/A	-
1.	3.01.01.01 – Appendix 3.1	Corporate Advisor Application Form				
2.	-	Corporate Advisor Application Check-list				
3.	3.01.01.02 – Appendix 4.22	Direct Debit Mandate				
4.	Appendix 2.1	Fees				
5.	3.01.07.02	Procedures to prevent and detect conflicts of interest				
6.	3.01.09.01	Memorandum of Association or equivalent constitutional document				
7.	3.01.09.02 (e)	Police Certificate of Good Conduct or equivalent from another recognized jurisdiction				
8.	Appendix 3.1	Board Resolution approving submission of Corporate Advisor Application				

No.	Rule Reference	Document/Information	(Kindly Tick as appropriate)			Remarks
			Y	N	N/A	
-	-	-				-
8.	Appendix 3.1	Board Resolution approving signatories				
9.	Appendix 3.1	Certified copy of Professional Accreditation or Warrant Investment, Banking or other FI License Ref. No.				
10.	3.09.02 Appendix 3.1 Section 2.04	CVs				
11.	Appendix 3.1 Section 2.0	Certified copies of Identification Documents (ID/Passport)				
12.	3.09.02 Appendix 3.1	Relevant details of any outsourcing agreements				
13.	3.01.09.06	Copy of Web Statement regarding independence, etc.				
14.	-	Any other relevant information				

This Checklist is intended as a guide to facilitate application process for the Applicant and the Prospects Admission Committee. Applicants are to refer to the Rules and relevant appendices when submitting an application in order to ensure compliance with requirements.