Licensing

THE PREVENTION OF FRAUD (INVESTMENTS) ACT LICENSING REGULATIONS, 1945, DATED DECEMBER 17, 1945, MADE BY THE MINISTER OF COMMERCE UNDER SECTIONS 3 AND 19 OF THE PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940 (4 GEO. 6, C. 9).

1945. No. 130

1. These Regulations may be cited as the Prevention of Fraud (Investments) Act Licensing Regulations (Northern Ireland), 1945.

2. " The Act " means the Prevention of Fraud (Investments) Act, (Northern Ireland), 1940, and " the Ministry " means the Ministry of Commerce for Northern Ireland.

Applications by persons who have not a licence in force

3. Applications under Section 3 of the Act by principals or representatives for licences shall be lodged with the Secretary, Ministry of Commerce, Belfast.

(*a*) not later than the 1st February, 1946, if the licences are to take effect on the appointed day ;

(*b*) not later than 3 calendar months before the day on which the licences are to take effect if they are to take effect within 3 calendar months of the appointed day ; and

(*c*) not later than 6 weeks before the day on which they are to take effect if they are to take effect more than 3 calendar months after the appointed day.

4. An application for a principal's licence by a person other than a Corporation intending to carry on the business of dealing in securities alone or jointly with another person or persons shall be made on Form P.F.I. 1.

5. Where two or more applicants intend to carry on the business of dealing in securities jointly their applications for principals' licences shall be made to the Ministry at the same time.

6. An application for a principal's licence by a Corporation shall be made on Form P.F.I. 2 and shall be signed by the Chairman of the Corporation and by at least one other director thereof, who shall be the Managing Director, if any, or by the sole director if there is only one director.

7. An application for a representative's licence shall be made on Form P.F.I. 3.

8. Every applicant shall attach to his application for a licence a Statutory Declaration giving

(*a*) in the case of an application for a principal's licence (by a person other than a Corporation), answers by the applicant to the questions contained in Form P.F.I. 1A ;

(*b*) in the case of a Corporation applying for a principal's licence, answers by the Chairman of the Corporation to the questions contained in Form P.F.I. 2A ;

(*c*) in the case of an application for a representative's licence, answers by the applicant to the questions contained in Form P.F.I. 3A.

9. Where application is made for a principal's licence such application shall be accompanied by applications for representatives' licences by all persons whom the applicant desires to be authorised to deal in securities as servants or agents :

Provided that where applications are made by two or more principals intending to carry on business jointly it shall suffice that one application in respect of each representative be furnished to the Ministry.

10. Every applicant (other than a Corporation) for a principal's licence and every applicant for a representative's licence shall attach to his application three references (on Form P.F.I. 1B, if a principal, and on Form P.F.I. 3B, if a representative) signed by one person of each of the following classes—

(1) Bank managers ;

(2) Members of a recognised Stock Exchange having more than 50 members ;

(3) Solicitors or barristers in either case of five years standing or Justices of the Peace.

Provided that the Ministry may in its discretion accept an alternative reference or references in place of any one of those above-mentioned.

Applications by persons who have a licence in force

11. Applications for new licences by persons who have a licence in force shall be lodged with the Ministry not later than one calendar month before the current licence is due to expire, and such applications shall be made on Form P.F.I. 4 in the case of a principal other than a Corporation, on Form P.F.I. 5 in the case of a Corporation, and on Form P.F.I. 6 in the case of a representative, and there shall be attached thereto a Statutory Declaration on Forms P.F.I. 4A, P.F.I. 5A and P.F.I. 6A respectively.

General

12. Where during the period for which a principal's licence has been

granted any change takes place in any of the particulars mentioned therein (other than the address at which the business is carried on) the holder thereof shall apply on Form P.F.I. 7 to the Ministry to amend the licence.

13. Where any change occurs in any of the particulars furnished to the Ministry by an applicant for a principal's licence before the issue of such licence he shall forthwith notify such change to the Ministry.

14. Where any change other than the changes set out in Section 8 of the Act occurs during the currency of a principal's licence in any of the particulars required by these Regulations to be furnished to the Ministry, the holder of the licence shall notify such change to the Ministry within 14 days of the occurrence thereof or such longer period as the Ministry may allow.

15. In any reference to Christian names and surnames in the prescribed forms :

(*a*) a Christian name includes any fore-name ;

(*b*) in the case of a peer or person usually known by a British title different from his surname, the title by which he is known shall be substituted for his surname ;

(*c*) reference to a former Christian name or surname does not in the case of natural-born British subjects include a former Christian name or surname where that Christian name or surname has been changed or disused before the person bearing such name had attained the age of 18 years ; and in the case of a married woman shall not include the surname by which she was known previous to her marriage.

16. The Ministry may in its discretion, on cause shown, abridge the time prescribed by Regulations 3 and 11 in connection with the making of applications for licences.

17. The forms in the Appendix, with such variations as circumstances may require shall be used.

18. Fees to be paid to the Ministry in respect of licences shall be :

(*a*) by a person other than a Corporation, for a principal's licence, the sum of £10 :

Provided that in the case of a partnership fees in respect of all the partners shall not exceed £25 ;

(*b*) by a Corporation, the sum of £25 ;

(*c*) for amendment of a licence under Regulation 12, the sum of £2 ;

(*d*) for a representative's licence, the sum of £2,

and such fees shall be sent to the Ministry when application is made for a licence.

19. An undertaking given to the Ministry in lieu of a deposit under sub-section (4) of Section 4 of the Act shall be in the Form P.F.I. 8 set out in the Schedule to these Regulations.

Sealed with the Official Seal of the Ministry of Commerce this 17th day of December, 1945, in the presence of

(L.S.) *W. Robson,*
Assistant Secretary.

APPENDIX.

Issued by the
Ministry of Commerce.

FORM P.F.I. 1.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A PRINCIPAL'S LICENCE, BY A PERSON (OTHER THAN A CORPORATION) INTENDING TO CARRY ON THE BUSINESS OF DEALING IN SECURITIES ALONE OR JOINTLY WITH ANY OTHER PERSON OR PERSONS.

I, the undersigned (*a*).....

intending to carry on the business of dealing in securities (*b*) [jointly with.....

.....] at (*c*).....

apply for a principal's licence to carry on such business in the name of (*d*).....

.....

I append hereto Form P.F.I. 1A duly completed by me and verified by Statutory Declaration.

I also append hereto references in Form P.F.I. 1B from (1) a bank manager; (2) a member of a recognised Stock Exchange having more than 50 members; (3) a solicitor, barrister or Justice of the Peace.

The names of all persons who are to deal in securities as my/our servants or agents are as follows :—

and applications by them fo representatives' licences are sent herewith.

A remittance (*e*) for the fee of £ accompanies this application.

Signature.....

.....Date

(*a*) Insert full Christian names and surname in block letters.
(*b*) Delete if not applicable.
(*c*) Insert address in block letters.
(*d*) Insert in block letters name in which applicant proposes to carry on business whether alone or jointly with any other person or persons.
(*e*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 1A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION TO BE MADE BY A PERSON (OTHER THAN A CORPORATION) APPLYING FOR A PRINCIPAL'S LICENCE.

1. State :— (*a*) Present Christian name(s) and surname and any former Christian name(s) and surname	
(*b*) Residential address	
(*c*) Business address or addresses	
(*d*) Nationality and former nationality, if any	
2. In what name is the business of dealing in securities proposed to be carried on ? ...	
3. Give particulars of all businesses carried on by you as a principal during the last five years including in the case of each business :— (*a*) The nature of business	
(*b*) Address where carried on	
(*c*) Name of business	
(*d*) Date of commencement and cessation of business	
(*e*) Names and addresses and nationalities of partners, if any	
4. Have you in the last five years or any part thereof been in employment ? If so, state the following particulars of your employment during that period :— (*a*) Names and addresses of employers and the nature of their businesses	
(*b*) The capacity in which you were so employed	
(*c*) Dates of commencement and cessation of every such employment	
(*d*) Reasons for termination of any such employment	
5. Are you a director of any limited companies or other corporations ? If so, state :— (*a*) Names of such companies or corporations	
(*b*) Date of commencement of each of your directorships	
(*c*) Nature of business carried on by such companies or corporations	

6. Have you during the last five years been a director of any limited companies or other corporations ? If so, state :— (*a*) Names of such companies or corporations	
(*b*) Dates of commencement and cessation of each of such directorships	
(*c*) Nature of business carried on by such companies or corporations	
7. (*a*) Have you at any time been a member of any stock exchange or association of dealers in securities in Northern Ireland or elsewhere ? ... ... If so, state which and for what period ...	
(*b*) If you have ceased to be a member of any stock exchange or association of dealers in securities, state the reasons for having so ceased	
8. (*a*) Have you at anytime applied unsuccessfully for membership of a stock exchange or association of dealers in securities ? ...	
(*b*) If so, give name of such stock exchange or association and state the reason if known to you why your application was refused	
9. Do you intend to carry on the business of dealing in securities alone or in partnership ?	
10. (*a*) Do you carry on or intend to carry on any business or businesses other than that of dealing in securities and if so, is such business carried on or to be carried on alone or in partnership ?	
(*b*) What is the nature of such business or businesses ?	
(*c*) If in partnership, state the names, addresses and nationality and former nationality of your partners	
11. (*a*) Have you at any time been adjudged bankrupt either in Northern Ireland or elsewhere ?	
(*b*) If so, state the Court by which you were adjudged bankrupt and if discharged the date and conditions on which you were granted your discharge	
(*c*) Have you at any time been a party to a deed of arrangement or made any other form of composition with your creditors ? ...	
(*d*) Give particulars of any unsatisfied judgments outstanding against you	

12. (*a*) Have you at any time been convicted of any offence in Northern Ireland or in any other country ?	
(*b*) If so, state the Court by which you were convicted and give the date of conviction and full particulars of the offence and the penalty imposed	
13. (*a*) Do you intend to deal in securities as a principal or as an agent or both ? ...	
(*b*) Do you intend either to distribute circulars with regard to securities to the public generally or to limit such distribution to any particular class of persons ? ...	
(*c*) Do you propose to adopt any other form of advertisement of your business, and if so, what ?	
14. Do you intend to employ any aliens in your business, otherwise than as representatives ? ... ... If so, state their names, addresses and nationalities and in what capacities they are to to be employed	
15. (*a*) Will any person, not disclosed by the answer to question 9, have, or is it intended that any such person shall have, any measure of control over the business	
(*b*) If so, state the name, address and nationality of such person and the nature of the control	
16. State :— (*a*) The name and address of every bank at which you keep or propose to keep an account for the purposes of your business as a dealer in securities	
(*b*) The date on which every such existing account was opened	
17. State names of not more than six members of any recognised stock exchange with whom you have transacted business in securities during the past five years. Give the names of the stock exchanges of which they are members	
18. What experience have you had in the business of dealing in securities which is not disclosed in the previous answers ? ...	

I,....., of.....

....., do solemnly and sincerely declare that the answers to all the above questions are true.

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at
this day of 19
Before me
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 1B.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATEMENT TO BE COMPLETED BY REFEREES IN SUPPORT OF AN APPLICATION FOR A PRINCIPAL'S LICENCE.

.....

of .....
has applied to me for a reference in support of his application for a principal's licence to carry on the business of dealing in securities.

From my personal knowledge of .....
for .....years, I am satisfied that (s)he is a fit and proper person to be licensed to carry on the business of dealing in securities.

Signed .....

(*a*) Description .....

(*a*) Where the referee is a barrister or solicitor he must here state that he is of at least five years standing.

Issued by the
Ministry of Commerce.

FORM P.F.I. 2.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A PRINCIPAL'S LICENCE BY A CORPORATION INTENDING TO CARRY ON THE BUSINESS OF DEALING IN SECURITIES.

We the undersigned (*a*) .....
and .....
apply on behalf of (*b*) .....intending
to carry on business at (*c*) .....
for a principal's licence.

We append hereto Form P.F.I. 2A duly completed and verified by Statutory Declaration made by the Chairman of the Corporation.

The names of all persons who are to deal in securities as servants (*d*) or agents of the Corporation are as follows :—

and applications by them for representatives' licences are sent herewith.
A remittance (*e*) for the fee of £ accompanies this application.

..... Chairman.
..... Managing Director.
..... Director.
.....Date

(*a*) Insert full Christian names and surnames in block letters. At least two directors, including the Chairman and Managing Director (if any) must sign. Signature by one director will only be accepted where he is a sole director.
(*b*) Insert name of Corporation in block letters.

(*c*) Insert in block letters all addresses at which business is to be carried on.

(*d*) Any director or officer of the Corporation is by the Act included in the expression servant of the Corporation.

(*e*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 2A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION TO BE MADE BY THE CHAIRMAN OF A CORPORATION APPLYING FOR A PRINCIPAL'S LICENCE.

1. State :— (*a*) Name, and former names (if any) of the Corporation	
(*b*) In what country it is incorporated ...	
(*c*) Address of registered office and of all offices in Northern Ireland where it is intended to carry on business	
(*d*) In what other countries (if any) business is or has been carried on and in what name(s)	
2. State :— (*a*) The names and addresses and nationalities and former names and nationalities of all directors	
(*b*) The names, addresses and nationalities of all directors who have held office in the last three years other than those given under (*a*)	
3. (*a*) State the amount of the nominal capital of the Corporation and the class or classes of shares or stock into which it is divided	
(*b*) State the number of shares issued and whether they are fully paid up or if partly paid up to what extent and whether any shares, and if so how many and of what class have been issued for a consideration other than cash	
(*c*) (i) Give the names and addresses of the shareholders and particulars of their holdings. If there are more than six, give the names and addresses and particulars of the holdings of the six principal shareholders.	
(ii) Give the names and addresses of all past and present shareholders who have at any time held individually more than 25 per cent. of the capital of the Corporation	
(iii) Where the shares mentioned in (i) and (ii) are held by nominees the names and addresses of the beneficial owners thereof must be given	

(*d*) If a shareholder disclosed by the answer to Question (*c*) is a Corporation, give the information required by Question (*c*) in regard to that Corporation and also in regard to any Corporation and in regard to any Corporation holding a controlling interest therein	
(*e*) Give particulars of any debentures created and issued by the Corporation together with the amount of the debt secured thereby and the names of the debenture holders or the trustees for the debenture holders	
(*f*) Give similar particulars of any other charges granted by the Corporation over its assets or any part thereof	
4. (*a*) Has a Petition at any time been presented for winding up the Corporation and if not now pending how was such Petition disposed of?	
(*b*) Has the Receiver of the property of the Corporation ever been appointed by the Court or by a debenture holder, and is such Receiver still in possession? ...	
(*c*) Are there unsatisfied judgments outstanding against the Corporation? If so, give the amounts thereof and full details in regard thereto	
5. (*a*) Has the Corporation at any time been a member of any stock exchange or association of dealers in securities in Northern Ireland or elsewhere? ... ... If so, state which and for what period ...	
(*b*) If the Corporation has ceased to be a member of any stock exchange or association of dealers in securities, state the reasons for having so ceased	
6. Has the Corporation at any time applied unsuccessfully for membership of any stock exchange or association of dealers in securities? If so give name of such exchange or association and state the reason if known to you why application was refused	
7. State the nature of any business carried on by the Corporation other than that of dealing in securities	
8. (*a*) Does the Corporation intend to deal in securities as principal or as agent or both?	
(*b*) Does the Corporation intend either to distribute circulars with regard to securities to the public generally or to limit such distribution to any particular class of persons?	

(*c*) Does the Corporation propose to adopt any other form of advertisement of its business, and if so, what?	
9. (*a*) Does the Corporation intend to employ any aliens in its business otherwise than as representatives?	
(*b*) If so, state their names, addresses and nationalities and in what capacities they are employed	
10. (*a*) Will any person not disclosed by the answers to Questions 2 and 3 have, or is it intended that any such person shall have, any measure of control over the business of the Corporation?	
(*b*) If so, state name, address and nationality of such person and the nature of the control	
11. State :— (*a*) The name and address of every Bank at which the Corporation keeps or proposes to keep an account for the purposes of its business as a dealer in securities ...	
(*b*) The date on which every such existing account was opened	
12. State names of not more than six members of any recognised stock exchanges with whom the Corporation has transacted business in securities in the past five years. Give the names of the exchanges of which they are members	

I,....., of.....
....., being the chairman of.....
.....on whose behalf application for a principal's licence is made, do solemnly and sincerely declare that the answers to all the above questions are true.

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at
this day of 19 .
Before me
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 3.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A REPRESENTATIVE'S LICENCE BY A PERSON INTENDING TO DEAL IN SECURITIES AS SERVANT OR AGENT OF A HOLDER OF A PRINCIPAL'S LICENCE.

I, the undersigned, (*a*).....
of .....
being (*b*).....of (*c*).....
carrying on business at (*d*).....
apply for a Representative's Licence.

I append hereto Form P.F.I. 3A duly completed by me and verified by Statutory Declaration.

I also append hereto references in Form P.F.I. 3B from (1) a bank manager, (2) a member of a recognised stock exchange having more than 50 members and (3) a solicitor, barrister or Justice of the Peace.

A remittance (*e*) for the fee of £ accompanies this application.

.....Signature.

.....Date.

(*a*) Insert full Christian name(s) and surname and private address in block letters.
(*b*) State whether a director or in what capacity employed.
(*c*) State name of employer in block letters.
(*d*) Insert address or addresses in block letters.
(*e*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 3A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION TO BE MADE BY AN APPLICANT FOR A REPRESENTATIVE'S LICENCE.

1. State :— (*a*) Present Christian name(s) and surname, and any former Christian name(s) and surname	
(*b*) Residential address	
(*c*) Business address or addresses	
(*d*) Nationality and former nationality (if any)	
2. State the name of individual or firm or corporation by whom you are or propose to be employed or of corporation of which you are a director	
3. Give particulars of all businesses carried on by you as a principal during the last five years including in the case of each business :— (*a*) The nature of business	
(*b*) Address where carried on	
(*c*) Name of business	
(*d*) Date of commencement and cessation of business	
(*e*) Names and addresses and nationalities of partners, if any	
4. Have you in the last five years or any part thereof been in employment? If so, state the following particulars of your employment during that period :— (*a*) Names and addresses of employers and the nature of their businesses	
(*b*) The capacity in which you were so employed	

(*c*) Dates of commencement and cessation of every such employment	
(*d*) Reasons for termination of any such employment	
5. Are you a director of any limited companies or other corporations ? If so, state :— (*a*) Names of such companies or corporations.	
(*b*) Date of commencement of each of your directorships	
(*c*) Nature of business carried on by such companies or corporations	
6. Have you during the last five years been a director of any limited companies or other corporations ? If so, state :— (*a*) Names of such companies or corporations	
(*b*) Dates of commencement and cessation of each of such directorships	
(*c*) Nature of business carried on by such companies or corporations	
7. (*a*) Have you at any time been a member of any stock exchange or association of dealers in securities in Northern Ireland or elsewhere ? ... ... If so, state which and for what period ...	
(*b*) If you have ceased to be a member of any stock exchange or association of dealers in securities, state the reasons for having so ceased	
8. (*a*) Have you at anytime applied unsuccessfully for membership of a stock exchange or association of dealers in securities ? ...	
(*b*) If so, give name of such stock exchange or association and state the reason if known to you why your application was refused	
9. (*a*) Do you carry on or intend to carry on any business or businesses other than that of dealing in securities and if so, is such business carried on or to be carried on alone or in partnership ?	
(*b*) What is the nature of such business or businesses ?	
(*c*) If in partnership, state the names, addresses and nationality and former nationality of your partners	
10. (*a*) Have you at any time been adjudged bankrupt either in Northern Ireland or elsewhere ?	

(*b*) If so, state the Court by which you were adjudged bankrupt and if discharged the date and conditions on which you were granted your discharge	
(*c*) Have you at any time been a party to a deed of arrangement or made any other form of composition with your creditors ? ...	
(*d*) Give particulars of any unsatisfied judgments outstanding against you	
11. What experience have you had in the business of dealing in securities which is not disclosed in the previous answers ? ...	
12. (*a*) Have you at any time been convicted of any offence in Northern Ireland or in any other country ?	
(*b*) If so, state the Court by which you were convicted and give the date of conviction and full particulars of the offence and the penalty imposed	

I,....., of.....
....., do solemnly and sincerely declare that the answers to all the above questions are true.

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at .....
this ..... day of ..... 19 .....
Before me
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 3B.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATEMENT TO BE COMPLETED BY REFEREES IN SUPPORT OF AN APPLICATION FOR A REPRESENTATIVE'S LICENCE.

.....
of .....
has applied to me for a reference in support of his application for a representative's licence authorising him/her to deal in securities as the servant or agent of (*a*).....a holder of a principal's licence.

From my personal knowledge of.....
for.....years, I am satisfied that (s)he is a fit and proper person to be granted a representative's licence to deal in securities as such servant or agent as aforesaid.

Signed.....

(*b*) Description .....

(*a*) Insert name of holder of principal's licence.
(*b*) Where the referee is a barrister or solicitor he must here state that he is of at least five years standing.

Issued by the
Ministry of Commerce.

FORM P.F.I. 4.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A PRINCIPAL'S LICENCE BY A PERSON (OTHER THAN A CORPORATION) WHO HAS A LICENCE IN FORCE.

I, the undersigned (*a*) .....
carrying on the business of dealing in securities (*b*) [jointly with.....
.....] at (*c*).....
apply for a principal's licence to carry on such business in the name of (*d*)
..... from .....
being the date on which my existing licence expires.

I append hereto Form P.F.I. 4A duly completed by me and verified by statutory declaration.

A remittance (*e*) for the fee of £ accompanies this application.

Signature.....

Date.....

(*a*) Insert full Christian name(s) and surname in block letters.
(*b*) Delete if not applicable.
(*c*) Insert address in block letters.
(*d*) Insert in block letters name in which applicant is carrying on business whether alone or jointly with any other person or persons.
(*e*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 4A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION TO BE MADE ON AN APPLICATION FOR A PRINCIPAL'S LICENCE BY A PERSON (OTHER THAN A CORPORATION) WHO HAS A LICENCE IN FORCE.

I .....
of .....
carrying on business at.....
in the name of .....
do solemnly and sincerely declare as follows :—

1. I am the holder of Principal's Licence No. .....issued to me by the Ministry of Commerce on.....

2. There has been no change in the particulars set out by me in the Form P.F.I. 1A and referred to in the statutory declaration made by me on..... which I have not already notified to the Ministry of Commerce.

3. I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at
this day of 19 . }
Before me
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 5.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A PRINCIPAL'S LICENCE BY A CORPORATION WHICH HAS A LICENCE IN FORCE.

We, the undersigned (*a*).....
.....
apply on behalf of (*b*) .....

carrying on the business of dealing in securities at (*c*) .....
.....for a principal's licence to carry on such business from .....being the date on which the Corporation's existing licence expires.

We append hereto Form P.F.I. 5A duly completed and verified by statutory declaration made by the Chairman of the Corporation.

A remittance (*d*) for the fee of £ accompanies this application.

.....Chairman.

.....Managing Director.

.....Director.

.....Date.

(*a*) Insert full Christian names and surnames in block letters. At least two Directors, including the Chairman and Managing Director (if any) must sign. Signature by one Director will only be accepted where he is the sole Director.

(*b*) Insert name of Corporation in block letters.

(*c*) Insert in block letters all addresses at which business is carried on.

(*d*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 5A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION ON AN APPLICATION FOR A PRINCIPAL'S LICENCE TO BE MADE BY THE CHAIRMAN OF A CORPORATION WHICH HAS A LICENCE IN FORCE.

I.....
of .....
being the Chairman of.....
on whose behalf application for a principal's licence is made do solemnly and sincerely declare as follows :—

1. The Corporation is the holder of Principal's Licence No. .....
issued by the Ministry of Commerce on.....

2. There has been no change in the particulars set out by me in the Form P.F.I. 2A, and referred to in the statutory declaration made on .....
which has not already been notified to the Ministry of Commerce.

3. I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at
this day of 19 .
Before me
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 6.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE FOR A REPRESENTATIVE'S LICENCE BY A PERSON WHO HAS A LICENCE IN FORCE.

I, the undersigned (*a*) .....
of .....
being (*b*).....
of (*c*) .....
carrying on business at (*d*) .....
apply for a representative's licence from .....
being the date on which my existing licence expires.

I apend hereto Form P.F.I. 6A duly completed by me and verified by statutory declaration.

A remittance (*e*) for the fee of £ accompanies this application.

Signature.....

Date.....

(*a*) Insert full Christian name(s) and surname and private address in block letters.
(*b*) State whether a Director or in what capacity employed.
(*c*) State name of employer in block letters.
(*d*) Insert address or addresses in block letters.
(*e*) Cheques should be made payable to the Ministry of Commerce and crossed.

Issued by the
Ministry of Commerce.

FORM P.F.I. 6A.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

STATUTORY DECLARATION TO BE MADE ON AN APPLICATION FOR A REPRESENTATIVE'S LICENCE BY A PERSON WHO HAS A LICENCE IN FORCE.

I .....

of .....

do solemnly and sincerely declare as follows :—

1. I am the holder of Representative's Licence No. .....issued to me by the Ministry of Commerce on.....

2. There has been no change in the particulars set out by me in the Form P.F.I. 3A and referred to in the statutory declaration made by me on..... which I have not already notified to the Ministry of Commerce.

3. I make this solemn declaration conscientiously believing the same to be true and by virtue of the Statutory Declarations Act, 1835.

Declared at .....
this ..... day of ..... 19 .....
Before me .....
A Commissioner for Oaths.

Issued by the
Ministry of Commerce.

FORM P.F.I. 7.

PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940.

APPLICATION TO THE MINISTRY OF COMMERCE TO AMEND A LICENCE.

I .....

of .....

being the holder of Principal's Licence No. .....hereby apply to the Ministry of Commerce to amend the said licence on the ground that a change { is about to take / or / has taken } place in the particulars mentioned therein, namely

.....

.....

.....

.....

I enclose herewith a cheque for £2 being the fee payable on the amendment of the licence.

Signature.....

Date.....

FORM P.F.I. 8.

THE PREVENTION OF FRAUD (INVESTMENTS) ACT (NORTHERN IRELAND), 1940, UNDERTAKING PURSUANT TO SECTION 4 (4) (*a*) OF THE ACT.

I
We

in consideration of the Ministry of Commerce granting a principal's licence under the above-mentioned Act to

of

(hereinafter called " the licensee ") hereby undertake upon the occurrence of the following event at any time before a further principal's licence is granted to the licensee that is to say the licensee becoming bankrupt or (in a case where the licensee is a corporation) the licensee being ordered to be wound up by, or under the supervision of, the Court, to pay the sum of five hundred pounds to the trustee in bankruptcy or to the licensee (in the case of the licensee being a corporation).

Provided that

(1) this undertaking shall be of no effect if in the bankruptcy or winding-up of the licensee (as the case may be) there shall be no provable debt in respect of any liability which has been incurred or which arises out of an agreement entered into before the expiry or revocation of the principal's licence of the licensee,

(2) in the event of an application not being made by the licensee for a further principal's licence upon the expiry of the licence held by the licensee or if an application for a further principal's licence is made by the licensee and the Ministry of Commerce does not grant a further principal's licence to the licensee or if the principal's licence granted to the licensee is revoked by the Ministry of Commerce, the undertaking hereby given shall continue operative until the end of a period of two years from the date when the said licence expired.

(3) subject to aforesaid this undertaking shall come to an end (*a*) on the day the said licence ceases to have effect or (*b*) on the day upon which the licensee shall deposit the sum of five hundred pounds with the Accountant General of the Supreme Court of Northern Ireland pursuant to Section 4 of the above-mentioned Act.

In witness, etc.

To the Ministry of Commerce.

RAILWAY

Railway Companies : Accounts and Returns

ORDER, DATED 13TH APRIL, 1945, MADE BY THE MINISTRY OF COMMERCE UNDER SECTION 3 OF THE RAILWAY COMPANIES (ACCOUNTS AND RETURNS) ACT, 1911.

1945. No. 52

The Ministry of Commerce for Northern Ireland, in exercise of the powers vested in it by Section 3 of the Railway Companies (Accounts and Returns) Act, 1911, and of all other powers in that behalf enabling the Ministry hereby orders as follows :—