

<b>GENERAL INFORMATION</b>	
<b>Name of formality</b>	Professional Securities Broker Certificate: Executing Buying and Selling in Accordance with Investor Orders
<b>Type of formality</b>	Certificate
<b>Date of last modification</b>	03.05.2024
<b>Responsible Authority</b>	Lao Securities Commission Office (021 217770;)
<b>Who should apply for this formality?</b>	
<b>Qualifications needed by the business to get the formality</b>	

<b>LEGAL FRAMEWORK</b>			
<b>Name</b>	<b>Number</b>	<b>Date</b>	<b>Comment</b>
Securities Law (Amendment)	34/NA	03.12.2019	
Decision on Applying for Permission to Conduct Securities Business (Amendment)	22/LSC	24.06.2021	
Decision on the Management of Securities Business Professionals (Amendment)	24/LSC	16.07.2021	

<b>REQUIRED DOCUMENTS FORMALITIES</b>		
<b>Name</b>	<b>Type</b>	<b>Comment</b>
`\${SUPPORT_NAME}`	`\${SUPPORT_TYPE}`	`\${SUPPORT_COMMENT}`

<b>LIST OF ATTACHED DOCUMENTS FOR FIRST TIME APPLICATION</b>		
<b>Name of document</b>	<b>Type of document</b>	<b>File of document</b>
`\${ATTACHMENT_NAME}`	`\${ATTACHMENT_TYPE}`	`\${ATTACHMENT_FILE}`

<b>LIST OF ATTACHED DOCUMENTS FOR RENEW APPLICATION</b>		
<b>Name of document</b>	<b>Type of document</b>	<b>File of document</b>
#{ATTACHMENT_NAME_RENEW}	#{ATTACHMENT_TYPE_RENEW}	#{ATTACHMENT_FILE_RENEW}

<b>MEAN OF PRESENTATION</b>		
<b>Means of presentation</b>	At the Authority Offices	
<b>Address of authority</b>	Lao Securities Commission Office, Bank of Lao PDR	
<b>Time it takes to the authorities to process the formality</b>	15	

<b>RENEWAL INFORMATION</b>	
<b>Does the formality have a validity or an expiration date?</b>	<b>How long will the formality be valid for? (in months)</b>
YES	24
<b>What is the process and conditions to get the formality?</b>	
<b>What is the process and conditions to renew the formality?</b>	

<b>ISSUING FEES</b>				
<b>Has application fees?</b>	<b>Service fees businesses need to disburse</b>	<b>Certificate fees businesses need to disburse</b>	<b>Application fees businesses need to disburse</b>	<b>Total fees businesses need to disburse</b>
YES	0.00	5000000.00	2000000.00	7000000.00
<b>Comments</b>				
<b>ADDITIONAL ISSUING FEES</b>				
<b>Additional fee names</b>				
NO	0.00	0.00	0.00	0.00

<b>Additional fee comments</b>	
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<b>RENEWAL FEES</b>				
<b>Has renewal fees?</b>	<b>Service fees businesses need to disburse</b>	<b>Certificate fees businesses need to disburse</b>	<b>Renewal fees businesses need to disburse</b>	<b>Total renewal fees businesses need to disburse</b>
YES	0.00	3000000.00	0.00	3000000.00
<b>Comments</b>				
<b>ADDITIONAL RENEWAL FEES</b>				
<b>Additional renewal fees names</b>				
NO	0.00	0.00	0.00	0.00
<b>Additional renewal fees comments</b>				