

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

LEGAL FRAMEWORK			
Name	Number	Date	Comment
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	

REQUIRED DOCUMENTS FORMALITIES		
Name	Type	Comment
\${SUPPORT_NAME}	\${SUPPORT_TYPE}	\${SUPPORT_COMMENT}

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

LIST OF ATTACHED DOCUMENTS FOR RENEW APPLICATION		
Name of document	Type of document	File of document
\${ATTACHMENT_NAME_RENEW}	\${ATTACHMENT_TYPE_RENEW}	\${ATTACHMENT_FILE_RENEW}

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

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

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

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