

| GENERAL INFORMATION | |
|---|---|
| Name of formality | Professional Securities Business Certificate: Securities Investment Advisor Specialization |
| 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 | 12 |
| 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 |

| | |
|--------------------------------|--|
| Additional fee comments | |
|--------------------------------|--|

| 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 | | | | |