



## FINANCIAL DEALERS LICENSING ACT [CAP 70]

## CERTIFICATE OF PRINCIPAL'S LICENSE Section 2(ab)

In exercise of the powers conferred by the Financial Dealers Licensing Act [CAP 70], I hereby grant to

## DIRECT TRADING TECHNOLOGIES LTD

Class of License

C

Company Number

40169

Date of Incorporation

14th of February 2017

Company Type

International Company Limited by Shares

A principal's license and is authorized to carry on the business of dealing in Class C securities.

This license is subject to the terms and conditions set out on the reverse hereof.

Given under my hand and seal at Port Vila on 9th of January 2023.

Branan KARAEVANUATU Commissioner

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## **CONDITIONS:**

- 1. DIRECT TRADING TECHNOLOGIES LTD (the "Company") shall only conduct its business activities permissible under this license class. Unless approved by the Commission, the Company is prohibited from dealing in any business activities listed under Class A, B and D Licenses.
- 2. The Company is prohibited from providing trading activities in Domestic Markets.
- 3. The Company must operate from an office in Vanuatu and maintain the following systems:
  - a) A filing system;
  - b) A management and accounting system;
  - c) A business continuity system;
  - d) A trading platform.
- 4. The Company shall prepare and submit the audited financial statements after a period of twelve (12) months.
- 5. The Company shall prepare and file quarterly reports every three (3) months from the date the license is issued.
- 6. The Financial Dealers License granted to DIRECT TRADING TECHNOLOGIES LTD must not be assigned or transferred to a person or entity.
- 7. The Company should not operate under any trading name and/or trademark without prior approval from the Commission.
- 8. The Manager or Director must normally reside in Vanuatu for six (6) months within each year.
- 9. All Changes of Key Persons in the Company must be approved by the Commission.