

The Investment Dealer licence issued by the Financial Services Commission in Mauritius is gaining popularity and credibility worldwide. Application for Investment Dealer Licence must be made under the structure of a Global Business Licence (GBC) and the licence is granted subject to the approval of the Financial Services Commission.

The Securities Act 2005 coupled with the Securities (licensing) Rules 2007 remain the main legal framework governing the provisions and setting the parameters within which a GBC with an Investment Dealer licence can operate.

It is interesting to draw the attention of potential applicants that the investment dealer license represents the basis for applying for an Investment Banking license. The Investment Banking license is allowed to carry out the following business activities such as investment dealer/adviser, distribution of financial products, corporate finance advisory and asset management amongst others, subject to the approval of the FSC. We are proud to mention that Alliance Financial Services has successfully applied and obtained several investment banking licenses for its clients which are mainly large investment houses with operations in various countries.

The Securities (licensing) Rules 2007 clearly set out the activities authorized to be carried out under an Investment Dealer licence. A copy of Securities (licensing) Rules 2007 and Securities Act of Mauritius can be downloaded from our Legislation section of from the FSC website.



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