

In pursuance of a written resolution dated 30 November 2023 and as evidenced by a certificate given under the Hand and Seal of the Registrar of Companies on 03 January 2024 CARRICK INVESTMENT SERVICES has changed its name into Carrick Catalyst



Licence No: C114013661

Code: FS-4.1

15.03.2024

A handwritten signature in black ink, appearing to read 'A. Mishra'.

A. Mishra
For Chief Executive
Financial Services Commission

Financial Services Commission, Mauritius
GLOBAL BUSINESS LICENCE

This is to certify that,

CARRICK INVESTMENT SERVICES

holds a Global Business Licence pursuant to Section 72(6) of the Financial Services Act with effect from 09th February 2015 subject to the conditions set out herein.

This Licence attests that the Company conducts business outside Mauritius for the purposes of Part X of the Financial Services Act.

This Licence does not constitute an authorisation, permission or consent (however described) for the conduct of any particular activity.

Where the conduct of the proposed activity is subject to any licence, authorisation, permission or consent (however described) under the laws of Mauritius or any jurisdiction where the activity is conducted, the Company is required to seek the appropriate licence, authorisation, permission or consent (however described).

This 17th day of March 2022

A handwritten signature in black ink, appearing to read 'Gamal Ballan'.

Gamal Ballan

Issued on behalf of the Financial Services Commission, Mauritius
under the authority of the Chief Executive

This Licence shall remain valid unless suspended or revoked pursuant to Section 74(6) and Section 74(5) of the Financial Services Act respectively. The Licence may lapse pursuant to Section 74(2) of the Financial Services Act and rule 14 of the Financial Services (Consolidated Licensing and Fees) Rules 2008. The validity of the licence is subject to a receipt issued by the Financial Services Commission, Mauritius acknowledging payment of the licence fee for the current financial year, starting 1st July.

CONDITIONS:

1. CARRICK INVESTMENT SERVICES (the "Company") shall conduct business as Investment Adviser (Unrestricted) (a licence issued under Section 30 of the Securities Act 2005) and Insurance Broker (a licence issued under Section 70 of the Insurance Act 2005) and to act as Introducer to property developers.
2. The Company shall only conduct such business or activity, being business or activity permissible under the laws of Mauritius and those of the jurisdiction where the business or activity is being carried out.
3. The Company shall forthwith notify the Commission of any material change in its purpose and/ or working principle.
4. The Company should adopt, enforce and re-assess on an annual basis, its anti-money laundering and combating financing of terrorism framework.
5. The Board and the Company shall devise and set-up appropriate corporate governance measures for the sustainability of the Company and shall review and re-assess these measures from time to time.
6. (a) When delegating or outsourcing any function, the Company shall ensure that the delegate is competent, capable and fit.
(b) The Company shall not be discharged from its responsibilities upon any delegation or outsourcing arrangement.
(c) Notwithstanding any delegation or outsourcing agreement, all books and records of the service/transaction delegated or outsourced should be made available for inspection by the Commission at the latter's request even though the books and records are kept at the delegate's office.
7. The Company shall at all times have a Management Company as Secretary.
8. The Company shall submit every year, together with its audited financial statements:
 - (a) a report signed by the directors certifying that the Company has complied with all the provisions of the Financial Services Act and any Regulations, FSC Rules and guidelines issued under it; and
 - (b) a certificate from its auditor confirming the percentage of the business conducted in Mauritius.

A handwritten signature in black ink, appearing to be 'J. Bullen', is written over a horizontal line.

In pursuance of a written resolution dated 30 November 2023 and as evidenced by a certificate given under the Hand and Seal of the Registrar of Companies on 03 January 2024 CARRICK INVESTMENT SERVICES has changed its name into Carrick Catalyst



Licence No: C114013661
Code: SEC-2.4

15.03.2024

A. Mishra
For Chief Executive
Financial Services Commission

Financial Services Commission

INVESTMENT ADVISER (UNRESTRICTED) LICENCE

This is to certify that,

CARRICK INVESTMENT SERVICES

has been granted an Investment Adviser (Unrestricted) Licence pursuant to Section 30 of the Securities Act 2005, Rule 5 of the Securities (Licensing) Rules 2007 and the Financial Services (Consolidated Licensing and Fees) Rules 2008.

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


This 9th day of February 2015

FSC House
54, Cybercity
Ebene
Republic of Mauritius

C. Ah-Hen

*Issued on behalf of the Financial Services Commission
by the Chief Executive*

CONDITIONS:

1. CARRICK INVESTMENT SERVICES (the "Company") shall only conduct such business or activity permissible under this licence, unless otherwise approved by the Commission. Where such approval is given by the Commission, the Company shall not undertake such business or activity until the licence, authorisation, permission or consent (however described) has also been obtained where required.
 2. The Company shall keep at its registered address all executed agreements pertaining to the management, custody, advisory and other professional services related to portfolios of securities and funds to which it provides its services.
 3. The Company shall at all times ensure that its officers and employees have an appropriate level of training and knowledge of the products they promote to enable them to explain the risks involved to clients.
 4. The Company shall take reasonable steps to ensure that:
 - a) its customers understands the nature of the risks involved in the different types of investment proposed;
 - b) it discloses any position knowingly held by itself or any of its related and associated companies within its group regarding proposed financial products/services;
 - c) it discloses the identity and business address of the person for which it is acting as marketing and distribution agent;
 - d) it discloses whether the person on whose behalf it is acting, is regulated or authorized to market or distribute the proposed financial products in its respective jurisdiction.
 5. The Company shall ensure that any marketing campaign and/or advertisement issued by it is clear and not misleading and the Commission reserves the right to have any misleading advertisement removed and/or amended as appropriate at the Company's expense.
- 

In pursuance of a written resolution dated 30 November 2023 and as evidenced by a certificate given under the Hand and Seal of the Registrar of Companies on 03 January 2024 CARRICK INVESTMENT SERVICES has changed its name into Carrick Catalyst



Licence No: C114013661
Code: INS-2.3

15.03.2024

A. Mishra
For Chief Executive
Financial Services Commission

Financial Services Commission

INSURANCE BROKER LICENCE

This is to certify that,

CARRICK INVESTMENT SERVICES

has been granted an Insurance Broker Licence pursuant to Section 70 of the Insurance Act 2005 and the Financial Services (Consolidated Licensing and Fees) Rules 2008.

This Licence is subject to the conditions set out on the reverse hereof.

This 9th day of February 2015

FSC House
54, Cybercity
Ebene
Republic of Mauritius

C. Ah-Hen

*Issued on behalf of the Financial Services Commission
by the Chief Executive*

CONDITION:

1. CARRICK INVESTMENT SERVICES (the 'Company') shall only conduct such business or activity permissible under this licence.

A handwritten signature in blue ink, appearing to be 'M. J.', is located to the right of the first condition.