

ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ  
ສັນຕິພາບ ເອກະລາດ ປະຊາທິປະໄຕ ເອກະພາບ ວັດທະນະຖາວອນ

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ໃບຄໍາຮ້ອງຂໍອະນຸຍາດ  
ຮັບຮອງເປັນບໍລິສັດຈັດລໍາດັບຄວາມໜ້າເຊື່ອຖື  
ໃນວຽກງານຫຼັກຊັບ

ນະຄອນຫຼວງວຽງຈັນ, ວັນທີ \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**ຮຽນ:** ທ່ານ ຫົວໜ້າສໍານັກງານຄະນະກຳມະການຄຸ້ມຄອງຫຼັກຊັບ ທີ່ນັບຖື,

**ເລື່ອງ:** ຂໍອະນຸຍາດຮັບຮອງເປັນບໍລິສັດຈັດລໍາດັບຄວາມໜ້າເຊື່ອຖື ຈາກຕ່າງປະເທດ.

1. ຊື່ ແລະ ນາມສະກຸນ \_\_\_\_\_,  
ວັນ, ເດືອນ, ປີເກີດ \_\_\_\_\_, ສັນຊາດ \_\_\_\_\_,  
ທີ່ຢູ່ປະຈຸບັນ \_\_\_\_\_, ໂທລະສັບ/ແຟັກ \_\_\_\_\_,  
ອີເມວ/ເວັບໄຊທ໌ \_\_\_\_\_,  
ບັດປະຈຳຕົວເລກທີ \_\_\_\_\_, ອອກໃຫ້ວັນທີ \_\_\_\_\_,  
ສະຖານທີ່ອອກໃຫ້ \_\_\_\_\_, ມື້ຫມົດກຳນົດ \_\_\_\_\_,  
ຫນັງສືຜ່ານແດນເລກທີ \_\_\_\_\_,  
ອອກໃຫ້ວັນທີ \_\_\_\_\_, ສະຖານທີ່ອອກໃຫ້ \_\_\_\_\_,  
ມື້ຫມົດກຳນົດ \_\_\_\_\_.
2. ຕໍາແໜ່ງ: \_\_\_\_\_
3. ຊື່ບໍລິສັດທີ່ຈະຂໍອະນຸຍາດຮັບຮອງ \_\_\_\_\_  
\_\_\_\_\_
4. ຈຸດປະສົງໃນການເຄື່ອນໄຫວທຸລະກິດ: \_\_\_\_\_
5. ທີ່ຕັ້ງສໍານັກງານຂອງບໍລິສັດທີ່ຈະຂໍການຮັບຮອງ \_\_\_\_\_  
\_\_\_\_\_
6. ໃບອະນຸຍາດສ້າງຕັ້ງ  ຫຼື ໃບທະບຽນວິສາຫະກິດ  ເລກທີ: \_\_\_\_\_, ລົງວັນທີ \_\_\_\_\_,  
ອອກໃຫ້ໂດຍ \_\_\_\_\_



7. ໃບອະນຸຍາດດຳເນີນທຸລະກິດເລກທີ: \_\_\_\_\_ , ລົງວັນທີ \_\_\_\_\_ ອອກໃຫ້ໂດຍ \_\_\_\_\_

8. ດຳເນີນທຸລະກິດ ດ້ານການຈັດລຳດັບຄວາມໜ້າເຊື່ອຖື ພາຍໃນປະເທດ ເປັນເວລາ : \_\_\_\_\_ ປີ ແລະ ຕ່າງປະເທດ \_\_\_\_\_ ປີ.

9. ທຶນຈົດທະບຽນທັງຫມົດ \_\_\_\_\_ ,  
ໃນນີ້ຖອກແລ້ວ \_\_\_\_\_  
ເປັນເງິນສົດ \_\_\_\_\_  
ເປັນວັດຖຸ \_\_\_\_\_

10. ຮູບການຂອງບໍລິສັດ

- ບໍລິສັດຈຳກັດ
- ບໍລິສັດຈຳກັດມະຫາຊົນ
- ອື່ນໆ \_\_\_\_\_

11. ຮູບແບບການລົງທຶນ

- ຕ່າງປະເທດ 100%
- ຮ່ວມທຶນ \_\_\_\_\_

12. ພະນັກງານທັງໝົດ: ..... ຄົນ, ໃນນັ້ນຈຳນວນຜູ້ຈັດລຳດັບຄວາມໜ້າເຊື່ອຖື ໃບຢັ້ງຢືນການຜ່ານຫຼັກສູດທາງດ້ານວິຊາຊີບການເງິນ ແລະ ການລົງທຶນລະດັບສາກົນ (Chartered Financial Analyst: CFA), ໃບຢັ້ງຢືນວິຊາຊີບຈັດລຳດັບຄວາມໜ້າເຊື່ອຖື (Rating Practitioner) ຫຼື ໃບຮັບຮອງເປັນຜູ້ຮັບຜິດຊອບຈັດລຳດັບຄວາມໜ້າເຊື່ອຖືຈາກອົງການຄຸ້ມຄອງວຽກງານຫຼັກຊັບ ຈາກຕ່າງປະເທດ ຂອງຜູ້ຮັບຜິດຊອບຈັດລຳດັບຄວາມໜ້າເຊື່ອຖື ດັ່ງມີລາຍຊື່ລຸ່ມນີ້:

ລ/ດ	ຊື່ຂອງຜູ້ຈັດລຳດັບຄວາມໜ້າເຊື່ອຖື	ສັນຊາດ	ທະບຽນເລກທີ	ອອກໃຫ້ວັນທີ	ໝົດກຳນົດ ວັນທີ
1					
2					
3					
4					
5					

13. ກິດຈະການໃນເຄື່ອງດຽວກັນ

ລຳດັບ	ຊື່ບໍລິສັດໃນເຄື່ອງ	ປະເພດທຸລະກິດ	ທີ່ຢູ່ສຳນັກງານ	ອັດຕາການຖືຮຸ້ນ	
				ທາງກົງ	ທາງອ້ອມ



1				
2				
3				
4				
5				
6				
7				
8				
9				
ລວມ				

(ໃຫ້ແຕ້ມໂຄງສ້າງການຖືຮຸ້ນໃນບໍລິສັດໃນເຄືອ ມາພ້ອມ)

ຂ້າພະເຈົ້າຂໍຢັ້ງຢືນວ່າ ຂໍ້ມູນດັ່ງກ່າວນີ້ ແມ່ນຖືກຕ້ອງຕາມຄວາມເປັນຈິງ, ຖ້າຫາກມີການບິດເບືອນ ຈາກຄວາມເປັນຈິງ ຂ້າພະເຈົ້າຈະຂໍຮັບຜິດຊອບຕໍ່ໜ້າລະບຽບກົດໝາຍທີ່ ສປປ ລາວ ວາງອອກທຸກປະການ.

ດັ່ງນັ້ນ, ຈຶ່ງຮຽນສະເໜີມາຍັງທ່ານ ເພື່ອພິຈາລະນາຕາມທາງຄວນດ້ວຍ

ຜູ້ສະເໜີ



Lao People's Democratic Republic  
Peace Independence Democracy Unity Prosperity

**Request Form for an Approval of a Foreign Credit Rating Agency  
For Securities Market Assignment**

Vientiane, Date

Dear:  
Title:

1. First and Last Name  
Date of Birth \_\_\_\_\_, Nationality \_\_\_\_\_, Address \_\_\_\_\_, Tel/Fax \_\_\_\_\_  
\_\_\_\_\_, Email/Website \_\_\_\_\_, Identification Card no \_\_\_\_\_,  
Issued on \_\_\_\_\_ At \_\_\_\_\_, Expired date \_\_\_\_\_  
Passport no \_\_\_\_\_, Issued on \_\_\_\_\_ At \_\_\_\_\_, Expired date \_\_\_\_\_
2. Position
3. Company Name
4. Business purpose
5. Registered company address for the approval
6. Enterprise Registration Certificate no \_\_\_\_\_, Dated \_\_\_\_\_, Issued by \_\_\_\_\_
7. Business License no \_\_\_\_\_, Dated \_\_\_\_\_, Issued by \_\_\_\_\_
8. Domestic credit rating experience \_\_\_\_\_ years and International credit rating experience \_\_\_\_\_ years
9. Registered Capital  
Paid up capital  
In cash  
In other type of reserve
10. Type of the enterprise  
 company Limited  
 Public company  
 Other \_\_\_\_\_
11. Company shareholder's nationality  
 Foreign 100%  
 Joint ventures \_\_\_\_\_
12. Number of employee ..... persons, Having credit rating professionals which have a certificate of Chartered Financial Analyst (CFA) qualification, Rating Practitioner Certificate and certificate of registration of credit rating professional issued by a foreign securities supervisory authority of at least two persons with credit rating experience in securities activities of at least two years with the following detail:

No	Name	Nationality	License no	Issued date	Expired date
1					



2					
3					
4					
5					

13. Related business entities

No	Affiliate company name	Business type	Address	% of share holding	
				Direct	Indirect
1					
2					
3					
4					
5					
6					
7					
8					
9					
Total					

(Shareholding structure diagram required)

I hereby affirm that the personal profile above is valid and I will hold responsible for any discrepancies in accordance with the governing laws of Lao People's Democratic Republic.

Therefore, I hope prepared this document for your consideration.

Proposed by

Lao People's Democratic Republic

Peace Independence Democracy Unity Prosperity

ຊື່

(3 x 4)

Curriculum Vitae

I. Personal Information:

1. First and Last name:

2. Nationality:

3. Date of birth:

4. Place of birth:

5. Occupation:

6. Position:

7. Workplace:

8. Address:

9. Identification Card no Issued on , Expired date , Passport no

, Issued on , Expired date

10. Tel:

11. Fax:

12. Email:

13. Martial status:

Single

Married

Divorced

Separated

Widowed

❖ In case of married, specify spouse's name

- Occupation



- Workplace
- Position
- ❖ No of children

No	Name	Date of birth	Age	workplace	position
1					
2					
3					
4					
5					
	total				

(In case of having spouse and children, please elaborate their biography details as stated II, III and IV below):

## II. Educational background and professional training

### 1. Education level (ascended sourcing):

No	Institution name	Degree	Year of study
1			
2			
3			
4			
5			

### 2. Credit rating professional training and other professional related training:

No	Training Agenda	Training Institution	Date of Attendance
1			
2			



3			
4			
5			

(Training certification required)

III. **Work experience:**

No	Workplace	Position	Responsibility	Work period
1				
2				
3				
5				
6				
7				
8				
9				
10				

(Employment certification required)

IV. **Stock investment:**  Yes  No

No	Business entity	% of shareholding	Share value	Holding period
1				
2				
3				
5				

I hereby affirm that the personal profile above is valid and will hold responsible for any discrepancies in accordance with the governing laws of Lao People's Democratic Republic.



Vientiane, date

Credit rating agency

Signature

Remark: 3 photos not exceeding 3 months, size 3x4