

FINANCIAL SERVICES COMMISSION

SECURITIES ACT CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL REGISTRATON:

Self-Regulatory Organisations

Instructions for using the checklist

1. The checklist must accompany completed applications¹
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. Persons who may certify documents include; a Justice of the Peace, Attorney-at-law, or a Notary Public.
3. All documents that are not in English must be accompanied by a certified English translation.
4. "N/A" should be used where a document outlined below is not applicable.

Select the appropriate option:

The application is being submitted for: Stock Exchange
 Central Securities Depository

State full name: _____

The following have been submitted:

<input type="checkbox"/>	Completed application form - Form 1 – Application for Registration as a Self-Regulatory Organisation
<input type="checkbox"/>	Updated list of names of the seat-holders of the members (<i>if applicable</i>)
<input type="checkbox"/>	Copies of approved documents from the Registrar of Corporate Affairs and Intellectual Property Office <u>regarding any changes</u> to the constitutive documents in accordance with Section 197 of the Companies Act
<input type="checkbox"/>	Due Diligence Requirements (<i>if there are any new Directors, CEOs etc.</i>)

ANY ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

FEES

Payment has been submitted based on the following:

	Category	Prescribed fee
<input type="checkbox"/>	Stock Exchange	0.1% value of transaction for previous year with a minimum of BDS\$50,000
<input type="checkbox"/>	Depository	BDS\$10,000

Payment method

Cheque No.: _____ Draft No.: _____ Wire Transfer (**provide confirmation**)

¹ The application form must be accompanied by such other information or documentation known to the Applicant required to support the application.