

FINANCIAL SERVICES COMMISSION

SECURITIES ACT, CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL REGISTRATION:

Dealers, Investment Advisers, Underwriters

Instructions for using the checklist

1. The checklist must accompany completed applications¹
2. The checklist applies to (i) companies seeking to be registered as dealers, investment advisers and underwriters and (ii) individuals not employed by companies who are seeking to be registered as investment advisers and dealers.
3. In the case of companies, a single checklist should be used for the company and the individuals employed by the company applying to be registered in the relevant categories.
4. 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.
5. All documents that are not in English must be accompanied by a certified English translation.
6. "N/A" should be used where a document outlined below is not applicable.

Select the appropriate option:

- The application is being submitted for:
- Company & employed individuals
- Individual (not employed by a company)

State full name: _____

Full name of individual applicants employed by the aforementioned company

i.
ii.
iii.
iv.

The following have been submitted:

<input type="checkbox"/>	Completed and properly signed application form(s) for the company / each individual named above (Form 2 - Application for Registration as Broker, Trader, Dealer, Investment Adviser or Underwriter)
<input type="checkbox"/>	Evidence of prescribed level of capitalisation (<i>companies</i>)
<input type="checkbox"/>	Evidence of Free Capital (<i>individuals not employed by a Company</i>)
<input type="checkbox"/>	Copies of approved documents from the Registrar of Corporate Affairs and Intellectual Property Office <u>regarding 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>) <i>See Relevant Due Diligence Form</i>

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

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ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

FEES				
Payment has been submitted based on the following:				
Category / categories of registration	<input type="checkbox"/> Dealer	<input type="checkbox"/> Investment Adviser	<input type="checkbox"/> Underwriter	
	Category	Prescribed fee	No. of Persons	Total Fees
<input type="checkbox"/>	Dealer	BDS \$2,500	/	BDS \$
<input type="checkbox"/>	Investment adviser	BDS \$2,500	/	BDS \$
<input type="checkbox"/>	Underwriter	BDS \$10,000	/	BDS \$
<input type="checkbox"/>	Dealer (employed individuals)	BDS \$2,500		BDS \$
<input type="checkbox"/>	Investment Adviser (employed individuals)	BDS \$2,500		BDS \$
TOTAL				BDS\$
Payment method				
<input type="checkbox"/> Cheque No.: _____ <input type="checkbox"/> Draft No.: _____ <input type="checkbox"/> Wire Transfer (provide confirmation)				