

FINANCIAL SERVICES COMMISSION

SECURITIES ACT, CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL REGISTRATION:

Individual Brokers (not employed by a company)

Instructions for using the checklist

1. The checklist must accompany completed applications¹
2. The checklist applies to individuals not employed by companies who are seeking to be registered as brokers.
3. "N/A" should be used where a document outlined below is not applicable.

State full name: _____

The following have been submitted:

<input type="checkbox"/>	Completed and properly signed application form for the individual named above (Form 2 - <i>Application for Registration as Broker, Trader, Dealer, Investment Adviser or Underwriter</i>)
<input type="checkbox"/>	Evidence of Free Capital

ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

FEES			
	Category	Prescribed fee	Total Fees
<input type="checkbox"/>	Broker	BDS \$2,500	BDS \$
Payment method			
<input type="checkbox"/> Cheque No.: _____ <input type="checkbox"/> Draft No.: _____ <input type="checkbox"/> 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.