



FINANCIAL SERVICES
COMMISSION

*Securities Act
Cap. 318A*

FORM NO. 3

(Regulation 13(1)(b))

APPLICATION FOR REGISTRATION FOR A SECURITIES COMPANY

(Pursuant to section 53(1)(a) of the Securities Act.)

Initial Registration Annual Registration

CONTACT INFORMATION

1. Name of the Applicant as stated in the company's constituent document:

2. Contact details of Applicant:

(a) Postal address:

(b) Principal address (if different from postal address):

(c) Address for service of process in Barbados:

(d) Website address:

(e) Email address:

(f) Telephone number:

FORM NO. 3 - Cont'd

(g) Fax number:

3. Name of Senior Officer responsible for this Application:

COMPANY DETAILS

4. (a) Country of incorporation or organisation of the Applicant:

(b) If incorporated in a country other Barbados, indicate whether the Applicant is registered in Barbados:

Yes No

(The constituent documents of the Applicant and any amendments thereto must accompany this Application on initial registration)

5. Names and residential addresses of the Members of the Board of the Applicant:

6. Information on Principal Executive Officer:

(a) Name:

(b) Residential address:

FORM NO. 3 - Cont'd

7. Information on the Senior Officers or Executives of the Applicant:

(a) Name:

(b) Residential address:

(Further information may be provided on a separate sheet as an attachment)

8. State the name and residential address of each person who beneficially owns, directly or indirectly, or exercises control or direction voting over, the voting securities of the Applicant, or a combination of both, carrying more than ten per cent of the votes attached to all voting securities of the Applicant outstanding:

9. (a) Is the Applicant applying for the registration of any branch office?

Yes No

(b) If the response to (a) is "Yes", state the postal and physical address of the branch offices.

BUSINESS ACTIVITIES

10. Business Plan

Describe briefly the Applicant's resources, financial and otherwise, to carry on the activity proposed and business activities. Provide supporting evidence including evidence of the Applicant's capitalisation. A detailed business plan should accompany this Application. (Initial Registration only.)

11. Information on the auditor of the Applicant:

(a) Name:

FORM NO. 3 - Cont'd

(b) Postal and physical address:

12. (a) State the Bank and the branches where the Applicant maintains an account:

(b) Identify the financial year-end date of the Applicant:

dd/mm/yyyy

13. State the class or classes of business to be undertaken by the company:

14. State the name(s) of the persons who will act as

- (a) brokers;
- (b) traders;
- (c) investment advisers;
- (d) underwriters;
- (e) dealers

for the company and their respective classes of registration:

15. State the name(s) of the individual(s) who will be responsible for the discharge of the company's obligations in relation to its operations as a

- (a) security company;
- (b) broker;
- (c) dealer;

FORM NO. 3 - Cont'd

(d) underwriter;

(e) investment adviser

and the respective class of registration for which they are responsible:

CAPITAL REQUIREMENTS

16. Has the Applicant secured the minimum paid up capital required? Yes No

Amount: _____
(Attach evidence of minimum paid up capital to this Application)

PREVIOUS REGISTRATION HISTORY

If the response is 'Yes' to questions 17 to 27, provide full details of that response where application reasons for the refusal of application, suspension or cancellation of registration, licensing or membership on a separate page and attach it to the Application.

17. Has the Applicant or an affiliate of the Applicant been registered with the Financial Services Commission? Yes No

18. Has the Applicant or an affiliate of the Applicant applied for registration with the Financial Services Commission? Yes No

19. Has the Applicant or an affiliate of the Applicant been registered in any other jurisdiction which requires registration or licensing to deal or trade in securities? Yes No

20. Has the Applicant or an affiliate of the Applicant been registered or licensed in any other capacity in Barbados under legislation which requires registration or licensing to deal with the public in any capacity? (e.g. as an insurance agent, real estate etc.) Yes No

21. Has the Applicant or an affiliate of the Applicant been refused registration or a licence to deal or trade in securities? Yes No

22. Has the Applicant or an affiliate of the Applicant had their licence to trade in securities suspended or cancelled? Yes No
23. Has the Applicant or an affiliate of the Applicant been denied the benefit of any exemption from registration provided by the *Securities Act*? Yes No
24. Has the Applicant or an affiliate of the Applicant been refused membership in any stock exchange, investment dealers association, investment bankers association or similar organisation in any country? Yes No
25. Has the applicant or an affiliate of the Applicant been refused membership in any stock exchange, investment dealers association, investment bankers association or similar organisations in any country? Yes No
26. Has the Applicant or an affiliate of the Applicant been suspended as a member of any stock exchange, investment dealers association, investment bankers association or similar organisation in this country? Yes No
27. Has the applicant or an affiliate of the Applicant operated under or carried on business under, any name other than the name shown in this Application? Yes No

CONVICTIONS AND BANKRUPTCY DETAILS

If the response is “Yes” to questions 28 to 32, provide full details of that response on a separate sheet.

28. Has the Applicant or an affiliate of the Applicant ever been convicted under the laws of any country, minor traffic offences excepted? Yes No

(In relation to question 28, you are required to disclose all information on an offence except offences expunged under the Criminal Records (Rehabilitation of Offenders) Act, Cap. 127).

29. Is there currently any outstanding charge or indictment against the Applicant or an affiliate of the Applicant? Yes No
30. Has the Applicant or an affiliate of the Applicant ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein fraud was alleged? Yes No
31. Has the Applicant or an affiliate of the Applicant at any time declared bankrupt, or made a voluntary assignment in bankruptcy? (If the response to question 31 is ‘Yes’, attach a copy of the discharge) Yes No

32. Has the Applicant or an affiliate of the Applicant ever been refused a fidelity or surety bond? Yes No

PROPOSED DATE FOR COMMENCING ACTIVITY

33. Proposed date for commencing activity. (*Initial registration only*):

 dd/mm/yyyy

ADDITIONAL INFORMATION

34. Provide all such other information or documentation known to the Applicant required to support this Application including evidence of suitability for registration.

CERTIFICATION AND SIGNATURE

35. Certification and Signature

This Application shall be signed by the Principal Executive Officer and one Member of the Board of Directors.

We are aware of the requirements related to securities companies under the Securities Act and the Regulations made thereunder and provided approval is granted to this Application, we give a joint and several undertaking that the Company will be operated in accordance with them.

SIGN HERE: _____ PRINT NAME: _____

SIGN HERE: _____ PRINT NAME: _____

Date received: _____