

FINANCIAL SERVICES COMMISSION

SECURITIES ACT, CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL REGISTRATION:

Securities Companies, Brokers, Traders

Instructions for using the checklist

1. The checklist must accompany completed¹
2. The checklist applies to (i) companies seeking to be registered as a securities company and (ii) individuals employed by a securities company who are seeking to be registered as brokers and traders.
3. A single checklist should be used for the company and the individuals employed by the securities 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:
- Securities Company
 - Broker (employed by a securities company)
 - Trader (employed by a securities company)

State full name of the company: _____

Full name of individual applicants employed by the aforementioned securities company

i.
ii.
iii.
iv.

The following have been submitted:

<input type="checkbox"/>	Completed application form for the company (Form 3 – <i>Application for Registration as a Securities Company</i>)
<input type="checkbox"/>	Completed application form for each individual named above (Form 2 - <i>Application for Registration as Broker, Trader, Dealer, Investment Adviser or Underwriter</i>)
<input type="checkbox"/>	Evidence of requisite capital
<input type="checkbox"/>	Evidence of current Professional Indemnity Insurance
<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

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

FINANCIAL SERVICES COMMISSION

SECURITIES ACT, CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR ANNUAL REGISTRATION:

Securities Companies, Brokers, Traders

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"/> Securities Company	<input type="checkbox"/> Broker	<input type="checkbox"/> Trader	
	Category	Prescribed fee	No. of Persons	Total Fees
<input type="checkbox"/>	Securities Company	BDS \$10,000	/	BDS \$
<input type="checkbox"/>	Broker (employed individuals)	BDS \$2,500		BDS \$
<input type="checkbox"/>	Trader (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)				