



FINANCIAL SERVICES
COMMISSION

Securities Act
Cap. 318A

FORM NO. 2

(Regulation 13(1)(a))

**APPLICATION FOR REGISTRATION AS A BROKER, DEALER,
INVESTMENT ADVISER, TRADER OR UNDERWRITER**

Initial Registration Annual Registration

CATEGORY OF REGISTRATION

1. Indicate the category of registration in respect of which the Application is made under the *Securities Act*.

Broker Dealer Investment Adviser
 Trader Underwriter

2. (a) The Applicant is

an individual employed by a securities company

(b) If employed by a securities company, state the name of the securities company:

CONTACT INFORMATION

3. Name of the Applicant:

4. Contact details of Applicant:

(a) Postal address:

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(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:

(g) Fax number;

5. Name of Senior Officer responsible for this Application:

BANKING AND FINANCIAL YEAR-END INFORMATION

6. (a) State the Bank and branches where the Applicant maintains accounts:

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

dd/mm./yyyy

(Question 6 does not apply to an individual employed by a securities company.)

COMPANY DETAILS

(Questions 7 to 11 do not apply to an individual employed by a securities company)

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

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(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.)

8. State the Names and residential addresses of the Members of the Board of the Applicant:

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

9. Information on Principal Executive Officer:

(a) Name:

(b) Residential address:

10. Information on the Senior Officer or Executives of the Applicant:

(a) Name:

(b) Residential address:

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

11. State the name and residential address of each person who beneficially owns, directly or indirectly, exercises control or can direct 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:

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12. (a) Is the Applicant applying for 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 *(Questions 13 to 15 do not apply to an individual employed by a securities company.)*

13. 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.)

14. Information on the auditor of the Applicant:

(a) Name:

(b) Postal and physical address:

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) dealer;

(b) underwriter;

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(c) investment adviser

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

(Question 15 is not applicable for individual Applicants.)

CAPITAL REQUIREMENTS

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

(Question 16 is not applicable for traders.) (Attach evidence of capital to this application.)

PREVIOUS REGISTRATION HISTORY

If the response is 'Yes' to questions 17 to 26, provide full details of that response including where applicable, 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:

(a) been registered with the Financial Services Commission?

Yes No

(b) applied for registration with the Financial Services Commission?

Yes No

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

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

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

21. Has the Applicant or an affiliate of the Applicant ever had their licence to deal or trade suspended or cancelled? Yes No

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22. 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
23. Has the Applicant or an affiliate of the Applicant been a member of any stock exchange, investment dealers association, investment bankers association or similar organisation in any country? 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 suspended as a member of any stock exchange, investment dealers association, bankers association or similar organisation in any country? Yes No
26. 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 27 to 31 provide full details of that response on a separate sheet.

27. Has the Applicant or an affiliate of the Applicant, ever been convicted under the laws of any country, minor traffic offences expected? Yes No
- (In relation to question 27, you are required to disclose all information on an offence except offences expunged under the Criminal Records (Rehabilitation of Offenders) Act. Cap 127)*
28. Is there currently any outstanding charge or indictment against the Applicant or an affiliate of the Applicant? Yes No
29. 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 where fraud was alleged? Yes No

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30. Has the Applicant or an affiliate of the Applicant at any time been declared bankrupt, or made a voluntary assignment in bankruptcy? (if the response to question 30 is "Yes" attach a copy of the discharge) Yes No

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

PROPOSED DATE FOR COMMENCING ACTIVITY

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

 dd/mm/yyyy

ADDITIONAL INFORMATION

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

CERTIFICATION AND SIGNATURE

34. Certification and Signature

This Application shall be signed by:

- (a) *the Applicant,*
- (b) *in the case where the Application is being made by a company, the Principal Executive Officer and one member of the Board of Directors,*
- (c) *in the case where the Application is being made by a trader, the Applicant and the Broker of a securities company under whose direction and supervision it is proposed that the Applicant operate as a trader; or*
- (d) *in the case where the Applicant is employed by a company, other than a securities company, the Applicant and the Principal Executive Officer.*

We confirm that the information contained in this application and its attachments is true and complete and not misleading.

SIGN HERE: _____ PRINT NAME: _____

SIGN HERE: _____ PRINT NAME: _____

Date received: _____