



CHECKLIST

APPLICATION FOR INITIAL REGISTRATION: SELF REGULATORY ORGANISATIONS

Instructions for using this Checklist

1. This checklist must accompany completed registration applications.
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. For a list of persons who may certify documents, see the Fitness and Propriety FAQ document on the Commission website.
3. All documents that are not in English must be accompanied by a certified English translation.
4. "N/A" should be used where a document or item outlined below is not applicable.

1. The application is being submitted for:

A. RELEVANT APPLICANTS		
No.	Name	Category
1.		
2.		
3.		
4.		

2. Indicate which of the following have been submitted by the Applicant:

B. APPLICATION AND SUPPORTING DOCUMENTATION (COMPANY)			
Item	Submitted	N/A	Notes/Reason for Non-submission
Completed Application Form for the company <i>(Form 1- Application for Registration as a Self-Regulatory Organisation)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Business Plan (Must include Company Overview, Organizational Structures & Profiles of Management Team Members and Key Staff, Products and Services, Marketing Strategies (including target market), Information Technology, Risk Exposures and Risk Management Strategies, Financial Information (including 3 years Cash Flow, Income Statement and Balance Sheet Projections)	<input type="checkbox"/>	<input type="checkbox"/>	
Copy of Rules	<input type="checkbox"/>	<input type="checkbox"/>	
Confirmation of the Applicant's bankers	<input type="checkbox"/>	<input type="checkbox"/>	
Names, Addresses, Occupation and Qualifications of Seat Holders of each Member	<input type="checkbox"/>	<input type="checkbox"/>	

C. CERTIFIED COPIES OF CORPORATE DOCUMENTS			
Item	Submitted	N/A	Notes/Reason for Non-submission
Certificate of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	
Articles of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	
Notice of Address / Change of Address	<input type="checkbox"/>	<input type="checkbox"/>	
Articles of Amendment (where applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Amendment (where applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
Notice of Directors / Change of Directors / Register of Directors	<input type="checkbox"/>	<input type="checkbox"/>	
External Company Certificate of Registration	<input type="checkbox"/>	<input type="checkbox"/>	
External Company Annual Return	<input type="checkbox"/>	<input type="checkbox"/>	
By-laws / Memorandum of Association	<input type="checkbox"/>	<input type="checkbox"/>	
Any other corporate documents required in accordance with Section 448(g) of the Companies Act, Cap. 308	<input type="checkbox"/>	<input type="checkbox"/>	
Register of Beneficial Owners	<input type="checkbox"/>	<input type="checkbox"/>	



D. DUE DILIGENCE DOCUMENTATION ¹						
Name of Individual	Position	Completed Fit & Proper Questionnaire	Police Certificate of Character (or Affidavit)	Certified or Notarised Copies of Passport Pages	Certified or Notarised Copies of Qualifications	Resume or CV
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E. ANY ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF APPLICATION		
1.	Relationship Disclosure Information	<input type="checkbox"/>
2.	Complaint Examination and Dispute Policy	<input type="checkbox"/>
3.	Code of Ethics and Personal Trading	<input type="checkbox"/>
4.	Corporate Governance Framework	<input type="checkbox"/>
5.	Internal Controls and Risk Management Framework	<input type="checkbox"/>
6.	Business Resilience and Operational Continuity Framework	<input type="checkbox"/>
7.	AML-KYC Policy Manual	<input type="checkbox"/>
8.	Internal Capital Adequacy Assessment Framework	<input type="checkbox"/>
9.	Market Conduct Framework	<input type="checkbox"/>
10.		<input type="checkbox"/>
11.		<input type="checkbox"/>
12.		<input type="checkbox"/>
13.		<input type="checkbox"/>
14.		<input type="checkbox"/>
15.		<input type="checkbox"/>
16.		<input type="checkbox"/>

3. Application Fees

F. ASSESSMENT OF APPLICATION FEES				
	Category	Fee (BBD)	No. of Persons	Subtotal
<input type="checkbox"/>	Central Securities Depository	\$1,000		
<input type="checkbox"/>	Stock Exchange	\$1,000		
<input type="checkbox"/>	Securities Association	\$1,000		
<input type="checkbox"/>	Clearing Agency	\$1,000		
GRAND TOTAL				

i) Have all assessed application fees been paid in full?

ii) If yes, provide proof of payment:

G. PAYMENT METHOD				
<input type="checkbox"/>	Cheque	Cheque No.:		
<input type="checkbox"/>	Bank Draft	Draft No.:		
<input type="checkbox"/>	Wire transfer ²	Confirmation No.:	Is the wire confirmation attached?	

¹ Must be submitted for each director or partner, senior officer, beneficial owner and compliance officer of the Applicant.
² Provide confirmation of wire from the financial institution.