

FINANCIAL SERVICES COMMISSION

For the attention of the Securities Division

Change notification –Market actor (Individual)¹

Entity information

Entity name	
Ref. no. ²	

Details of the change

Name of employee	
Category/ Categories of registration	<input type="checkbox"/> Broker <input type="checkbox"/> Trader <input type="checkbox"/> Investment adviser <input type="checkbox"/> Dealer
Nature of change	<input type="checkbox"/> Employee re-assigned <input type="checkbox"/> Employee resigned <input type="checkbox"/> Employee terminated <input type="checkbox"/> Employee deceased <input type="checkbox"/> No longer registered in a specific category ³
Effective date of the change [dd-mmm-yy]	

If the reason for the change is re-assignment; termination of the employee; or no longer registered in a specific category, provide details below.

I confirm that the information contained herein is true and complete.⁴

Signature

Print name:	Position:
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¹ This template should be used by market actor companies e.g. securities companies whose employees are registered with the Financial Services Commission as brokers, traders, investment advisers or dealers, and there is a change in respect of a registered employee.

² Use the number supplied by the Commission

³ To be used where the number of categories in which an employee was registered has been reduced

⁴ The template should be signed by an authorised signatory for the entity.