

CHECKLIST FOR REGISTRATION OF REGISTERED REPRESENTATIVES

Name of Applicant¹: _____

	Documents	Submitted	Comments
1.	Registration fee of \$2,000 per Registered Representative.	<input type="checkbox"/>	
2.	Form 3A - outlining particulars of the Registered Representative(s) being registered.	<input type="checkbox"/>	
3.	Schedule identifying the other Registered Representatives in the employ of the Broker-Dealer, Investment Adviser or Underwriter. Please ensure this schedule includes both the name and category of each Registered Representative.	<input type="checkbox"/>	
4.	Form 3B - outlining details for each Registered Representative. To be completed for each Registered Representative and retained by registrant.	n/a	

Signature of Designated Person

Date

Please submit the completed checklist together with the application

¹ Insert name of Broker-Dealer, Investment Adviser or Underwriter that is applying for the registration of the Registered Representative(s).