

**CHECKLIST FOR RENEWAL OF REGISTRATION OF AN  
INVESTMENT ADVISER (INDIVIDUAL)**

Name of Applicant: \_\_\_\_\_

	<b>Documents</b>	<b>Submitted</b>	<b>Comments</b>
<b>1.</b>	Renewal fee of TT\$10,000	<input type="checkbox"/>	
<b>2.</b>	<a href="#">Form 2B</a> – Registration As An Investment Adviser	<input type="checkbox"/>	
<b>3.</b>	<a href="#">Form 23</a> – Conflict of Interest Rules Statement	<input type="checkbox"/>	
<b>4.</b>	Description of activities that the applicant conducts in relation to its registration	<input type="checkbox"/>	
<b>5.</b>	Copy of written supervisory, internal controls and risk management policies and procedures, if there were changes subsequent to the applicant’s initial registration or since the applicant last renewed its registration.	<input type="checkbox"/>	
<b>6.</b>	Evidence of the Applicant's registration with any other regulatory authority, if applicable	<input type="checkbox"/>	



\_\_\_\_\_  
Signature of Designated Person

\_\_\_\_\_  
Date

*Please submit the completed checklist together with the application*