

**CHECKLIST FOR A CHANGE OF NAME OF A REGISTERED REPRESENTATIVE**

Name of Applicant<sup>1</sup> : \_\_\_\_\_

	<b>Documents</b>	<b>Submitted</b>	<b>Comments</b>
<b>1.</b>	A letter notifying the Commission of the name change.	<input type="checkbox"/>	
<b>2.</b>	A certified copy of the marriage certificate (in cases of marriage) or a certified copy of a deed poll.	<input type="checkbox"/>	
<b>3.</b>	A copy of national identification card, passport or driver's permit (which states the name used by the individual at the time the application for name change was made).	<input type="checkbox"/>	

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

\_\_\_\_\_  
Date

*Please submit the completed checklist together with the application.*

\_\_\_\_\_  
<sup>1</sup> Insert name of Broker-Dealer, Investment Adviser or Underwriter that is applying for the change of name of the Registered Representative(s).