

CHECKLIST FOR A CHANGE OF NAME OF A REGISTERED REPRESENTATIVE

Name of Applicant¹ : _____

	Documents	Submitted	Comments
1.	A letter notifying the Commission of the name change.	<input type="checkbox"/>	
2.	A certified copy of the marriage certificate (in cases of marriage) or a certified copy of a deed poll.	<input type="checkbox"/>	
3.	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.

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