

## CHECKLIST FOR REGISTRATION AS AN INVESTMENT ADVISER (INDIVIDUAL)

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

	Documents	Submitted	Comments
1.	Registration fee of TT\$10,000	<input type="checkbox"/>	
2.	Form 2B - Registration as an Investment Adviser	<input type="checkbox"/>	
3.	Form 23 - Conflict of Interest Rules Statement	<input type="checkbox"/>	
4.	Evidence of ability to satisfy Capital Requirement of TT\$50,000.  Evidence of satisfying the capital requirement would include a duly completed Hypothecation Agreement.	<input type="checkbox"/>	
5.	A copy of the Applicant's business plan which must clearly describe the activities that the Applicant intends to conduct in securities.	<input type="checkbox"/>	
6.	Copy of written supervisory, internal controls and risk management policies and procedures.	<input type="checkbox"/>	
7.	Evidence of the Applicant's registration with any other regulatory authority, if applicable.	<input type="checkbox"/>	
8.	Documentary evidence of having at least three years securities related work experience	<input type="checkbox"/>	
9.	Certified copy of relevant degree or proof of academic Qualification	<input type="checkbox"/>	
10.	A copy of a valid form of government issued Photo Identification	<input type="checkbox"/>	
11.	Two Passport Photos	<input type="checkbox"/>	

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Please note that:*

- *upon approval of registration, Investment Advisers will be required to apply to the Commission for approval as a Compliance Officer in accordance with Regulation 4(2) of the Financial Obligations Regulations, 2010. See the AML-CFT (<https://ttsec.org.tt/aml-cft/>) section of our website for additional information.*
- *all fees are payable at the submission of the application and are **non-refundable**.*

*Additionally, please submit the completed checklist together with the application.*