

## Checklist for Registration as a Sponsored Broker-Dealer or Sponsored Investment Adviser

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

	Documents	Submitted	Comments
<b>1.</b>	Registration Fee* – TT\$5,000.	<input type="checkbox"/>	
<b>2.</b>	Form 4 - Registration of Sponsored Broker-Dealer or Sponsored Investment Adviser. Completed and signed by the applicant.	<input type="checkbox"/>	
<b>3.</b>	Evidence that the applicant's registration as a broker-dealer, investment advisor or similar category of registration with designated foreign jurisdiction is in good standing.	<input type="checkbox"/>	
<b>4.</b>	Evidence from regulator in designated foreign jurisdiction that the applicant's employer is in good standings.	<input type="checkbox"/>	
<b>5.</b>	Letter from sponsoring (local) Broker-Dealer or Investment Adviser confirming sponsorship of applicant.	<input type="checkbox"/>	
<b>6.</b>	Copy of Government Issued Passport from Foreign Jurisdiction.	<input type="checkbox"/>	

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

\_\_\_\_\_  
Date



*\* Please note that all fees are payable at the submission of the application and are **non-refundable**. Additionally, please submit the completed checklist together with the application.*