

CHECKLIST FOR THE REGISTRATION OF A REGISTERED REPRESENTATIVE

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Registration fee* for each registered representative – TT\$2,000 per representative.	<input type="checkbox"/>	
2.	Form 3A – outlining particulars of the Registered Representative(s) being registered.	<input type="checkbox"/>	
3.	Schedule identifying the other Registered Representatives in the employ of the Broker-Dealer, Investment Adviser or Underwriter. Please ensure this schedule includes both the name and category of each Registered Representative.	<input type="checkbox"/>	
4.	Form 3B – outlining details for each Registered Representative. To be completed for each Registered Representative and retained by registrant.	<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.*