

**CHECKLIST FOR RENEWAL OF REGISTRATION OF AN
INVESTMENT ADVISER (INDIVIDUAL)**

Name of Applicant: _____

| | Documents | Submitted | Comments |
|-----------|--|--------------------------|-----------------|
| 1. | Renewal fee* – 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. | Description of activities that the applicant conducts in relation to its registration. | <input type="checkbox"/> | |
| 5. | Copy of written supervisory, internal controls and risk management policies and procedures, if there were changes subsequent to the applicant’s initial registration or since the applicant last renewed its registration. | <input type="checkbox"/> | |
| 6. | Evidence of the Applicant's registration with any other regulatory authority, if applicable. | <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.*