

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

Name of Applicant: _____

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

Signature of Designated Person

Date

Please submit the completed checklist together with the application