

**CHECKLIST FOR REGISTRATION AS AN INVESTMENT ADVISER
(CORPORATE)**

Name of Applicant: _____

| | Documents | Submitted | Comments |
|------------|---|--------------------------|-----------------|
| 1. | Registration fee of TT\$15,000 | <input type="checkbox"/> | |
| 2. | Form 2A - Registration of Broker-Dealer, Investment Adviser or Underwriter (Corporate Form Only). Completed and signed by the CEO and two directors. | <input type="checkbox"/> | |
| 3. | Form 2A – Appendix 1 for each director | <input type="checkbox"/> | |
| 4. | Form 3A outlining particulars for each registered representative. Each employee or officer of the applicant that engages in the business for which the company will be registered must be a registered representative. The applicant though, <i>must have at least two advising representatives in its full time employ.</i> | <input type="checkbox"/> | |
| 5. | Registration fee for each registered representative – TT\$2,000 per representative | <input type="checkbox"/> | |
| 6. | Form 23 – Conflict of Interest Rules Statement | <input type="checkbox"/> | |
| 7. | Evidence of ability to satisfy Capital Requirement of TT\$50,000. Evidence of satisfying the capital requirement would include Audited financial statements or where the Applicant has not completed its first financial year of operations, an Opening Balance Sheet as well as the most recent Management Accounts. Where the audited financial statements of the Applicant are older than three months, please submit a copy of the Applicant’s most recent Management Accounts. | <input type="checkbox"/> | |
| 8. | Certified copy of incorporation documents. Where incorporated abroad, you are also required to submit proof of registration as an external company. | <input type="checkbox"/> | |
| 9. | Certified Copy of the Annual Return | <input type="checkbox"/> | |
| 10. | 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"/> | |

**CHECKLIST FOR REGISTRATION AS AN INVESTMENT ADVISER
(CORPORATE)**

| | Documents | Submitted | Comments |
|------------|--|--------------------------|-----------------|
| 11. | Application for Registration of each Branch Office at which the applicant intends to conduct securities business. | <input type="checkbox"/> | |
| 12. | List of Substantial Shareholders. For any person who is not deemed to be approved as a substantial shareholder in accordance with Section 54(3) or 54(8) of the Act, please submit an application for approval of the Substantial Shareholders . | <input type="checkbox"/> | |
| 13. | Copy of written supervisory, internal controls and risk management policies and procedures | <input type="checkbox"/> | |
| 14. | Evidence of the Applicant's registration with any other regulatory authority, if applicable. | <input type="checkbox"/> | |

Signature of Designated Person

Date

Please submit the completed checklist together with the application

