

CHECKLIST FOR THE RENEWAL OF REGISTRATION OF A REGISTERED REPRESENTATIVE

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Renewal fee* for each Registered Representative – TT\$2,000 per representative.	<input type="checkbox"/>	
2.	Form 3A – outlining particulars of the Registered Representative(s) for whom the application for renewal of registration is being submitted.	<input type="checkbox"/>	
3.	Appendix 1 to Form 3A – List of persons whose registrations as Registered Representatives are being submitted for renewal. Kindly ensure that both a personal and corporate email address is provided for each Registered Representative whose registration is being renewed.	<input type="checkbox"/>	
4.	Schedule identifying other Registered Representatives in the employ of the Broker-Dealer, Investment Adviser or Underwriter. Please ensure this schedule includes: <ul style="list-style-type: none"> • the name of each Registered Representative; • the category of registration held by the Registered Representative; and • a personal email address for each Registered representative. 	<input type="checkbox"/>	
5.	Form 3B – outlining details for each Registered Representative whose registration is being renewed. To be completed for each Registered Representative and retained by the registrant. <i>N.B. The Commission does not require the Form 3B to be submitted with the application.</i>	<input type="checkbox"/>	

Signature of Designated Person

Date

Please note that all fees are payable at the submission of the application and are **nonrefundable. Additionally, please submit the completed Checklist together with the application.*