

**CHECKLIST FOR THE REGISTRATION OF A REGISTERED REPRESENTATIVE**

Name of Applicant: \_\_\_\_\_

|    | <b>Documents</b>  | <b>Submitted</b>         | <b>Comments</b> |
|----|---|--------------------------|-----------------|
| 1. | Registration fee* for each Registered Representative – TT\$2,000 per representative.  | <input type="checkbox"/> |                 |
| 2. | Form 3A – outlining particulars of the persons being registered as Registered Representatives.  | <input type="checkbox"/> |                 |
| 3. | Appendix 1 to Form 3A – List of persons to be registered as Registered Representatives.   | <input type="checkbox"/> |                 |
| 4. | Confirmation of the effective date of employment, the personal and corporate electronic mail address of each person being registered as a Registered Representative with the Broker-Dealer, Investment Adviser or Underwriter.  | <input type="checkbox"/> |                 |
| 5. | Schedule identifying the other Registered Representatives in the employ of the BrokerDealer, Investment Adviser or Underwriter. Please ensure this schedule includes both the name and category of each Registered Representative.                                    | <input type="checkbox"/> |                 |
| 6. | Form 3B – for each person being registered as a Registered Representative. To be completed for each Registered Representative and retained by the registrant.<br><i><b>N.B. The Commission does not require the Form 3B to be submitted with the application.</b></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.*