

FORM 3A

REGISTRATION AS REGISTERED REPRESENTATIVES

Pursuant to Section 56(1) of the Securities Act, 2012 and By-laws 21 and 22 of the Securities (General) By-Laws, 2015

General Instructions:	<p>Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced. See detailed list of required attachments.</p> <p>Completed applications should be submitted to:</p> <p style="text-align: center;">The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission Levels 22-23, Tower D International Waterfront Centre 1 Wrightson Road Port of Spain, Trinidad</p>
Item 1	Please mark “x” by the relevant checkbox to indicate the type of registration being sought. I.e. initial registration, renewal, or re-instatement.
Item 2	State the name of the Registrant and its category of registration under Section 51(1) of the Securities Act, 2012 that is making the application for the registered representatives.
Item 3	Complete Appendix 1 stating the names, full contact and other details of the persons who are to be registered as registered representatives. Also, state the proposed category of registration being sought for each registered representative. Each registered representative named in this section must have completed Form 3B and met the fit and proper requirements for a registered representative prior to the submission of Form 3A.
Item 4	Please mark “x” by the relevant checkbox to indicate your response.
Item 5	Please enter any additional information required to establish an Applicant’s qualification and suitability for registration.

Item 6	Date the application. Include the signature of the Chief Executive Officer, or equivalent, and two directors of the Registrant. Where the Chief Executive Officer is unavailable to sign the form, the form should be signed by any other duly authorized senior officer whose proof of authorization must be submitted with this form.
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Required Attachments:

1. Appendix 1 – List of registered representatives
2. The relevant application fee.



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Pursuant to Section 56(1) of the Securities Act, 2012 and By-laws 21 and 22 of the Securities (General) By-Laws, 2015

1. TYPE OF APPLICATION

Initial	<input type="checkbox"/>
Renewal	<input type="checkbox"/>
Re-instatement	<input type="checkbox"/>

2. REGISTRANT INFORMATION

Name of Registrant	
Broker-Dealer as Agent	<input type="checkbox"/>
Broker-Dealer as Principal	<input type="checkbox"/>
Underwriter	<input type="checkbox"/>
Investment Advisor (only)	<input type="checkbox"/>

3. LIST OF REGISTERED REPRESENTATIVES (see Appendix 1)

4. AFFIRMATION OF DOCUMENTATION AND FIT AND PROPER REQUIREMENTS

Confirm that the following statements are true with regard to the persons named in Appendix 1:	YES	NO
a) The requirements of By-law 22 have been compiled with.	<input type="checkbox"/>	<input type="checkbox"/>
b) At the time of this application, each person has completed or updated the Form 3B.	<input type="checkbox"/>	<input type="checkbox"/>
c) A copy of a valid Government issued identification (passport, driver's permit or national identification card) has been obtained for each person.	<input type="checkbox"/>	<input type="checkbox"/>
d) A certified copy of each person's educational qualifications has been obtained.	<input type="checkbox"/>	<input type="checkbox"/>
e) A curriculum vitae has been obtained for each person.	<input type="checkbox"/>	<input type="checkbox"/>
f) Each person has met the fit and proper requirements for the purposes of the Act.	<input type="checkbox"/>	<input type="checkbox"/>

5. ADDITIONAL INFORMATION

Please provide any additional information required to establish the Applicant's qualification and suitability for registration.

6. DATE, CERTIFICATION AND SIGNATURE

I/We hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my/our knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I/We understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, 2012.



Print Name

Print Name

Print Name

Signature

Signature

Signature

Position

Position

Position

Date

Date

Date

End of Form

FOR OFFICIAL USE ONLY

Tool	ID Information
Registrant's Number	
Director's Number	
Document / Record Number	
Record's Management Date Received (dd/mm/yyyy)	

Approved By : _____ Date (DD/MM/YYYY) _____





FORM 3A – APPENDIX 1

PLEASE NOTE: FORM 3A will be considered **NULL and VOID** unless it includes **APPENDIX 1**.

List the names and contact information of the persons who are to be registered as registered representatives. Also state the proposed category of registration being applied for.

Name (First, Middle, Last)	Residential Address	Home Phone (1-xxx- xxx- xxxx)	Work Phone (1-xxx- xxx- xxxx) (xxx)	Mobile Phone (1-xxx- xxx- xxxx)	Email Address	Date of Birth (dd/mm /yyyy)	Nationality	Type of ID (DP, PP, Nat. ID)	ID Number	Country of Issue	Job Title	Date of Appointment	Summary of Academic Qualifications	ADR ¹	BKR ²	UDR ³	ASR ⁴
														<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
														<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
														<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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														<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
														<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ *Advising Representative* ² *Brokering Representative* ³ *Underwriting Representative* ⁴ *Associate Representative*