

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: The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission 57-59 Dundonald Street 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 reinstatement
Item 2	State the name of the Registrant and its category of registration under section 51(1) that is making the application for the registered representatives.
Item 3	Complete Appendix 1 stating the names and full contact 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 representatives 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 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.

Required Attachments:

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

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REGISTRATION OF 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

1. TYPE OF APPLICATION

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

2. REGISTRANT INFORMATION

Name of Registrant	Category of Registration

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 has completed or person 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"/>

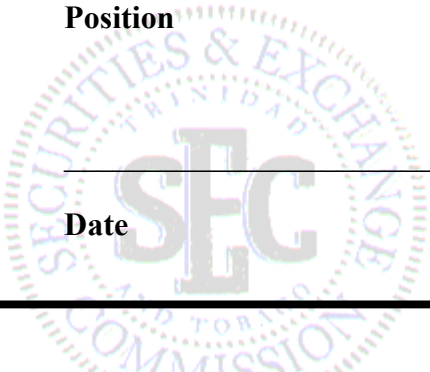
5. ADDITIONAL INFORMATION

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

6. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I 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



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) _____



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	Address	Home Phone (1- xxx-xxx- xxxx)	Work Phone (1-xxx-xxx- xxxx) (xxx)	Mobile Phone (1- xxx-xxx- xxxx)	Date of Birth (dd/mm/ yyyy)	Type of ID (DP, PP, Nat. ID)	ID Number	Job title / Position	Summary of Education Qualification	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"/>
										<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"/>
										<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"/>
										<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ *Advising Representative*

² *Brokering Representative*

³ *Underwriting Representative*

⁴ *Associate Representative*