

**FINANCIAL SERVICES COMMISSION  
CHECKLIST FOR REGISTRATION  
INDIVIDUAL DEALER**

*Below is a list of documents for registration with the Financial Services Commission. In order to start the registration process, each item on this list MUST be included in the package sent to the FSC. Please note that the documents will be returned if all the required documents are not included. The registration process will begin when all documents are received.*

| Document  | Relevant Section of Application Form | Regulations | Included (Please <input checked="" type="checkbox"/> ) |
|---|--------------------------------------|-------------|--|
| Certificate of Marriage   | C3(d)                                |             |  |
| Copy of Deed Poll   | C3(d)                                |             |  |
| Copy of Passport  | C3(d)                                |             |  |
| Two color passport-sized photographs  | C3(d)                                |             |  |
| Bank's Credit Report  | C4                                   |             |  |
| Copy of License as -<br>- Real Estate Agent<br>- Mortgage Broker<br>- Insurance Agent<br>-  | D2(b)                                |             |  |
| Certified copy of Discharge of Bankruptcy   | D5(b)                                |             |  |
| Professional Indemnity Insurance of minimum J\$2million   | E(1)                                 |             |  |
| Statement from an attorney-at-law on pending/outstanding litigation   | F                                    |             |  |
| Tax Compliance Certificate (TCC)  | H                                    |             |  |
| Verification of Academic Qualifications <b>and</b> letter from recognized individual confirming minimum 2 years experience in working within the Securities Industry<br><b>OR</b> |                                      | R.2(a&b)    |  |
| Letter from recognized individual confirming minimum 5 years experience in working within the Securities Industry   |                                      |             |  |
| \$5,000 non-refundable application fee  |                                      | R.3(1)      |  |

| Document   | Relevant Section of Application Form | Regulations       | Included (Please <input checked="" type="checkbox"/> ) |
|--|--------------------------------------|-------------------|--|
| Personal Questionnaire For Individual Dealers/Investment Advisors, Covered Persons, "Connected Persons" (Shareholders, Officers, Directors, Responsible Officers And Representatives) Of Companies Licensed, Or Applying To Be Licensed And Registered Under The Financial Services Commission Acts  |                                      | Section 9.(3)(ii) |  |
| Police Report  |                                      |                   |  |
| Resume   |                                      |                   |  |
| Business Plan to include-company/business overview, organizational structure, profiles of management team members and key staff, products & services, marketing strategy including target market, information technology, risk exposures & risk management strategies, financial information including 3 year cash flow statement, income statement & balance sheet t projections. |                                      |                   |  |

All copies of documents must be certified by a justice of the peace or can be certified by the Commission on presentation of original documents

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date Submitted: \_\_\_\_\_

FSC USE

Received by: \_\_\_\_\_

All applicable documents included: Yes \_\_\_  
No \_\_\_

Date Received: \_\_\_\_\_