

**FINANCIAL SERVICES COMMISSION
CHECKLIST FOR REGISTRATION
RESPONSIBLE OFFICER**

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"/>)
Copy of Passport, certified by a Justice of the Peace or Notary Public	Section 3.E		
Two colour passport-sized photographs certified by a Justice of the Peace or Notary Public	Section 3.F		
Verification of Academic qualification, i.e.original or copy certified by a Justice of the Peace	Section 4	R.2(a&b)	
Letter from current or former employer confirming years of service in the Securities or related industry	Section 5		
Three (3) reference letters	Section 7.A		
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			
Non-refundable application fee of \$5000.00	Regulation 6 of the Securities (Licensing and Registration) (Amendment) Regulations, 2001		
Confidential Reports from two previous employers			

Name: _____

Signature: _____

Date Submitted: _____

FSC USE

Received by: _____

All applicable documents included: Yes ___
No ___

Date Received: _____