



**FINANCIAL
SERVICES
COMMISSION**

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THE SECURITIES ACT, 1993

FORM B

**THE SECURITIES (LICENSING AND
REGISTRATION) REGULATION, 1996**

FORM B

THE SECURITIES ACT, 1993
The Securities (Licensing and Registration) Regulations, 1996

APPLICATION FOR REGISTRATION OF REPRESENTATIVE (S)

Notes for Completing Application

1. This Form is to be used by every Applicant and individual for whom Application is made for registration under the Securities Act.
2. All applicable questions must be answered. Failure to do so may cause delays in the processing of the Application.
3. If space provided for answers is insufficient, then furnish required information on an attachment.
4. This Form and all attachments added thereto must be typewritten. All signatures must be originals.
5. All documents pertaining to any question must be attached to the Form and clearly marked with the number of the relevant question.
6. The Applicant and the individual for whom Application is made for registration under the Act and the Justice of the Peace or Notary Public before whom the application is sworn, are each required to initial all attachments.

FORM B

THE SECURITIES ACT, 1993

The Securities (Licensing and Registration) Regulations, 1996

APPLICATION FOR REGISTRATION OF REPRESENTATIVE (S)

1. REPRESENTATIVE

.....
Surname First Middle Maiden

.....
Home Address Telephone No.

.....
Present position with Employer

Commenced employment on
Day Month Year

2. EMPLOYER

.....
Name Telephone No.

.....
Address of office where Representative will be working

Date on which Dealer's Licence or Investment Adviser's Licence
was granted

3. TYPE OF REGISTRATION REQUESTED

Dealer's Representative ()
Investment Adviser's Representative ()

4. PERSONAL DESCRIPTION OF REPRESENTATIVE

A. Date of Birth Sex

.....
Place of Birth

Height Weight Colour of eyes Colour of hair

.....
Citizenship If not a Jamaican citizen answer
Question B below

Name of spouse
Surname First Middle Maiden

Nature of spouse's employment in Jamaica
.....
.....

Name of spouse's employer

B. Are you a permanent resident of Jamaica? YES () NO ()

C. For how long have you been resident in Jamaica?
.....

D. Change of Name

List name changes resulting from marriage, divorce, court order or any other process, giving appropriate dates.

Previous name	Date changed	Reason
---------------	--------------	--------

.....
.....
.....

Have you ever carried on business under any name other than the name mentioned in Question 1 of this Form?

YES () NO ()

If YES, give details

.....

.....

E. Passport Information

In providing the information requested below, the Representative must also attach a copy of their passport certified by a Justice of the Peace or Notary Public.

Country	Place of issue	Date of issue	Number
---------	----------------	---------------	--------

F. Photograph

Attach hereto two copies of a colour passport - sized photograph, full face, showing a true likeness of the Representative as the Representative now appears and taken within the last six months. The photographs must measure 2" x 2", and bear on the back the date on which they were taken and be certified by a Justice of the Peace or an authorized Officer, Director, Partner or Branch Manager of the Applicant.

5. EDUCATION

List names of institutions attended and qualifications attained below

School / Institution	Year attended	Qualifications
.....
.....
.....
.....

6. EMPLOYMENT HISTORY

In answering questions 6 - 8 give full disclosure of your business activities, including any periods of self - employment and unemployment for 5 years immediately prior to the date of this application, excluding any summer employment while a full - time student, but including all securities or commodities industry employment during and prior to the 5 year period.

A. PRESENT EMPLOYMENT

.....
Name of present employer

.....
Address of present employer

..... Position of employment Period of employment
..... Duties
.....
.....

.....
.....
.....

B. PREVIOUS EMPLOYMENT

.....
Name of previous employer

.....
Address of previous employer

.....
Period of employment
From To

.....
Reasons for leaving
.....

C. SELF - EMPLOYMENT

Give details if any

.....
.....

D. Have you ever been discharged by an employer for dishonesty,
negligence or incompetence?

YES () NO ()

If YES, explain
.....

7. RESIDENTIAL HISTORY

Give all home addresses for the past 5 years, include street, postal code
and parish.

Current

.....20...to 20
Street Postal Code Parish

Previous

.....20....to 20.....

Street

Postal Code

Parish

8. REFERENCES

A. On an attachment provide three (3) names as references, excluding relatives and persons working with the Representative's employer. Include business address with postal code, telephone number and occupation.

B. Banks or other Financial institutions

.....
Name of bank (s)

.....
Address (s)

9. PRIOR REGISTRATION OR LICENSING

A. Are you now licensed or registered in any capacity under any law of Jamaica or any other country regulating trading in securities, commodities or commodity futures contracts?

YES () NO ()

If YES, give details

B. Have you been previously licensed or registered as mentioned in paragraph A.?

YES () NO ()

If YES, give details and dates.....

C. Are you now a shareholder, director or officer of any company or a partner in a partnership which is now licensed under any law regulating the trading of securities, commodities or commodity futures contracts in Jamaica or any other country?

YES () NO ()

If YES, which company?

D. Are you now a shareholder, director or officer of any company or a partner in a partnership which has been previously licensed under any law regulating the trading in securities, commodities or commodity futures contracts in Jamaica or any other country?

YES () NO ()

If YES, which company and when?

.....
E. Have you ever been a shareholder, director or officer of any company or a partner in a partnership licensed as mentioned in C. or D above?

YES () NO ()

If YES, which company and when?

.....
10. A. Are you now registered under any law which requires registration to deal with the public in any capacity other than trading in securities, commodities or commodity futures contracts in Jamaica or any other country?

YES () NO ()

If YES, which company and under what law?

.....
B. Have you ever applied for or obtained registration mentioned in paragraph A above?

YES () NO ()

If Yes, when and in which country and under what law?
.....

QUESTIONS 11-16

In answering Questions 11 - 16 you may need assistance from an authorized officer of the Applicant or from a Legal Adviser. Full details are required as attachments in respect of any question to which the Representative answers " YES ". These details must include the circumstances, relevant dates, names of the parties involved and final determination if known. Also disclose any convictions under all laws, excluding convictions under the Road Traffic Act, and any conviction in respect of which an absolute or conditional discharge has been granted. If a conviction has been expunged from the records pursuant to the Criminal Records Act, the appropriate response would be " NO ".

An authorized officer means any of the following:-

President, Vice - President, Chairman, Vice - Chairman, Chief Executive Officer, Managing Director, General Manager, Executive Director, Company Secretary, Company Treasurer, Financial Controller or Chief Financial Officer.

11. REFUSAL, SUSPENSION, CANCELLATION OR DISCIPLINARY MEASURE

A. Have you ever been refused registration or has your registration been suspended or cancelled under any law regulating trading in securities, commodities or commodity futures contract in Jamaica or any other country?

YES () NO ()

If YES, state in which country, under what law, and when.

.....
.....
.....
.....

B. Are you now or have you ever been an officer or director of a company or a partner in a partnership -

(i) which has been refused registration during the time of your association with it or

(ii) whose registration has been suspended or cancelled under any law regulating trading in securities, commodities or commodity futures contracts in Jamaica or any other country?

YES () NO ()

If YES, give details

12. OFFENCES

A. Have you ever pleaded guilty or been found guilty under any law of Jamaica or any other country of any offence involving dishonesty or relating to trading in securities, commodities, commodity futures contracts or options or the theft thereof or been a party in any proceedings taken on account of fraud arising out of any trade in or advice in respect thereof?

YES () NO ()

B. Have you ever been convicted of any criminal offence not mentioned in paragraph A?

YES () NO ()

C. Are you currently the subject of a charge or indictment under any law of Jamaica or any other country for contravention of any law or for any conduct of the type described in paragraphs A and B?

YES () NO ()

.....

D. Has a company of which you are or were at the time of the event an officer, director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities; or any partnership of which you are or were at the time of the offence a partner, ever pleaded guilty or been found guilty under any law in Jamaica or any other country of offences or conduct of the type described in paragraphs A and D?

YES () NO ()

.....

E. Is any such company or partnership mentioned in paragraph D currently the subject of a charge or indictment?

YES () NO ()

.....

13. CIVIL PROCEEDINGS

A. Has any claim been successfully made in any civil matter before a court or other tribunal in Jamaica or any other country which was based in whole or part on fraud, theft, deceit or misrepresentation or similar conduct against -

(i) you

YES () NO ()

.....

(ii) any company of which you are or were at the time of the event or at the time that such proceedings were commenced an officer, a director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities?

YES () NO ()

.....

(iii) any partnership of which you were a partner at the time of the event or at the time such proceedings were commenced?

YES () NO ()

.....

B. To the best of your knowledge is any such claim pending against you or such company or partnership?

YES () NO ()

.....

14. BANKRUPTCY

A. Have you or any company of which you are or were at the time of the event an authorised officer, a director or holder of voting securities carrying more than 5% of the votes carried by all outstanding voting securities; or

B. Have you or any partnership of which you are a partner, under the laws of Jamaica or any other country, ever -

(i) been declared bankrupt or made a **voluntary assignment** in bankruptcy?

YES () NO ()

.....

(ii) made a proposal relating to bankruptcy or insolvency?

YES () NO ()

.....

(iii) been subject to or instituted any proceedings, arrangement or compromise with creditors or had a receiver or manager, or both, appointed to hold your assets or the assets of the company or partnership?

YES () NO ()

.....

15. JUDGEMENT OR ATTACHMENT

(a) Has any judgement or attachment ever been rendered against you in any civil court in Jamaica in respect of damages or other relief for fraud or for any other reason?

YES () NO ()

.....

(b) Is any judgement or attachment outstanding against you in any civil court in Jamaica or any other country for damages or other relief in respect of fraud or for any reason whatsoever?

YES () NO ()

.....

16. SURETY BOND OR FIDELITY BOND

A. Have you ever applied for a surety bond or fidelity bond and been refused?

YES () NO ()

If YES, give particulars.

B. Are you presently bonded?

YES () NO ()

If YES, with whom and for how much?

17. BUSINESS ACTIVITIES

A. Will you be actively engaged in the business of the Applicant and devote the major portion of your time thereto?

YES () NO ()

If NO, give details

B. Are you engaged in any other business or have any other employment for gain except your occupation with the Applicant?

YES () NO ()

If YES, set out full details on an attachment including the name and address of the business, the nature of the business, your title or position and the amount of time you devote to the business.

- C. Are you an officer, director, shareholder, partner or other contributor of capital or employee of a company having as its principal business that of a dealer or adviser in securities, commodities, commodity futures contracts or options other than the firm with which you are now applying?

YES () NO ()

.....

If YES, give details.

18. CERTIFICATE AND AGREEMENT OF APPLICANT AND REPRESENTATIVE

The undersigned individual for whom Application is made for registration hereby :-

- (a) Certifies that the foregoing statements are to the best of his / her knowledge, information and belief true and correct, and hereby undertakes to notify the Commission in writing of any material change in the information provided in Part 11 of this Application; and
- (b) Acknowledges and consents to the Commission obtaining information from any source as permitted by law in Jamaica or any other jurisdiction for the purpose of verifying information furnished in this Application.

The undersigned authorized officer of the Applicant hereby certifies that he or she has discussed the questions in this Application with the individual for whom Application is made for registration and that to the best of his knowledge and belief the individual fully understands the questions, and further certifies that such individual is or will be engaged by the Applicant as a Representative.

Dated thisday of, 20

.....
(Name of Representative)

.....
(Signature of Representative)

By
(Authorized Officer, Partner or Individual Applicant)

DECLARATION OF REPRESENTATIVE

I, the undersigned, make oath and say that I have read and understood the questions in this Application as well as the answers made by myself thereto and that the statements of fact made therein and the attachments are to the best of my knowledge, information and belief true and correct.

SWORN before me at.....)
in the parish of)
thisday of.....20) Signature of Representative
)
)
.....)

Justice of the Peace or Notary Public

FOR OFFICIAL USE ONLY

- 1) Registration Period _____
- 2) Date Application received _____
- 3) (a) Number of Attachments _____
(b) " " Representatives _____
(c) " " Branches _____
- 4) Identification Verification _____
- 5) Application Fee paid \$ _____
- 6) Submitted to Commission on _____
- 7) Date Approved / Rejected _____
- 8) **Terms and Conditions of Licensing** _____
(i) _____
(ii) _____
(iii) _____
(iv) _____
- 9) Licensing Fees \$ _____
Date Paid _____
- 10) Certifying Officer _____
Chairman / Executive Director
- 11) **Suspensions or Cancellations**
Action Taken _____
Effective Date _____
Reasons _____

