



**FINANCIAL  
SERVICES  
COMMISSION**

39-43 Barbados Avenue  
P.O. Box 325  
Kingston 5  
Jamaica W.I.

Telephone: (876) 906-3010-2, 906-7264-6, 906-4999

Fax: (876) 906-3018

Email: [registrar@fscjamaica.org](mailto:registrar@fscjamaica.org)

## **The Securities Act**

### **Form G**

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

**FORM G****THE SECURITIES ACT**

The Securities (Licensing and Registration) Regulations, 1996

**APPLICATION FOR REGISTRATION OF RESPONSIBLE OFFICER****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 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 Justice of the Peace or Notary Public before whom the Application is sworn, are each required to initial all attachments.



..... If not a Jamaica citizen answer  
Citizenship 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 Responsible Officer must also attach a copy of his 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-size photograph, full face, showing a true likeness of the Responsible Officer as the Responsible Officer now appears and taken 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 Notary Public.

EDUCATION

List below names of institutions attended and qualifications attained

| School/Institution | Year attended | Qualifications |
|--------------------|---------------|----------------|
| .....              | .....         | .....          |
| .....              | .....         | .....          |
| .....              | .....         | .....          |
| .....              | .....         | .....          |

Attach original document or other certified document evidencing qualification.

5. EMPLOYMENT HISTORY

In answering questions 5-7 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. Attach letter, signed by the Responsible Officer's current or former employer, confirming the Responsible Officer's years of service in the securities or related industry.

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 any employer for dishonesty, negligence or incompetence?

YES( ) NO( )

IF YES, explain.....

6. 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

7. REFERENCES

A. On an attachment provide three (3) names as references, excluding relatives and persons working with the Responsible Officer's

employer. Include business address with postal code, telephone number and occupation.

B. Banks or other Financial institutions.

-----  
Name of bank (s)

-----  
Address (es)

8. PRIOR REGISTRATION OF RESPONSIBLE OFFICER

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 contrast?

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 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 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?

9. 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 when?

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 10-15

In answering Questions 10-15 you may need assistance from a Legal Adviser. Full details are required as attachments in respect of any question to which the Responsible Officer 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 (Rehabilitation of Offenders) Act, the appropriate response would be "NO"

10. 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 of commodity futures contract on Jamaica or any 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.....

-----

11. **OFFENCES**

A. Have you pleaded 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 other law or for any conduct of the type described in paragraphs A and B?

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( )

-----

12. 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 proceeding 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 proceeding 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 ( )

13. BANKRUPTCY

A. Have you or any company of which you are or were at the time of the event an authorized officer, a director of holder of voting securities carrying more than a 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 ( )

14. JUDGMENT OF ATTACHMENT

A. Has any judgment 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 judgment 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 ( )

-----

15. 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?

-----

16. BUSINESS ACTIVITIES

A. Will you be actively engaged in the business of the Dealer and above 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 Dealer?

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 working?

YES( ) NO( )

If YES, give details.

-----

17. CERTIFICATE AND AGREEMENT OF APPLICANT

I \_\_\_\_\_ who make application for registration hereby make oath and say-

- A. that I have read and understood the questions in this application as well as the answers made by me thereto and that the statements of fact made therein and the attachments thereto are to the best of my knowledge, information and belief true and correct; and
- B. that I undertake to notify the Commission in writing of any material change in the information provided in this application; and





FOR OFFICIAL USE ONLY

- 1) Registration Period.....
- 2) Date Application received .....
- 3) Number of Attachments.....
- 4) Identification Verification .....
- 5) Application Fee paid \$ .....
- 6) Submitted to Commission on.....
- 7) Date Approved/Rejected.....
- 8) Terms and Conditions of Registration
  - (i).....
  - (ii).....
  - (iii) .....
  - (iv).....
- 9) Registration Fee \$.....
  - Date Paid.....
- 10) Certifying Officer.....

Chairman/Executive Director
- 11) Suspensions or Cancellations.....
  - Action Taken.....
  - Effective Date .....

Reasons .....

-----

-----