

## FINANCIAL SERVICES COMMISSION CHECKLIST FOR REGISTRATION INDIVIDUAL INVESTMENT ADVISER

*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 A	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 - - Real Estate Agent - Mortgage Broker - Insurance Agent -	D2(b)		
Certified copy of Discharge of Bankruptcy	D5(b)		
Professional Indemnity Insurance of minimum J\$10million or net worth of at least J\$10million	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 <b>2 years</b> experience in working within the Securities Industry <b>OR</b> Letter from recognized individual confirming minimum <b>5 years</b> experience in working within the Securities Industry  <b>*Copies of all academic qualifications must be certified by one of the following persons:</b> Justice of the Peace, Minister of Religion, Notary Public, Attorney at Law, Inspector of Police or higher rank, Branch Manager of the Applicant, Officer of the Applicant's Employer or FSC Registration Officer		R.2(a&b)	
\$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 Advisers, 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 projections.			

**All copies must be certified by a Justice of the Peace or can be certified at the Commission on presentation of original documents**

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

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

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

FSC USE

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

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

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