

**FINANCIAL SERVICES COMMISSION
CHECKLIST FOR REGISTRATION
INVESTMENT ADVISER (COMPANY)**

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"/>)
Company's listing of Directors and their addresses	C1(a)		
Certificate of Incorporation (Company)	C1(b)		
List of shareholders and their shareholdings	C1(c)		
Memorandum and Articles of Association			
List of Partners, their addresses and holdings	C2(a)		
Certificate of Registration (Partnerships)	C2(c&d)		
Bank's Credit Report	C4		
Copy of Licence as - Real Estate Agent - Mortgage Broker - Insurance Agent	D2(b)		
Certified copy of Discharge of Bankruptcy	D5(b)		
Audited Financial Statements - net free assets of minimum J\$1m - Balance Sheet - Profit & Loss	E		
List of debt obligations	E(1)		
Statement from an attorney-at-law on pending/outstanding litigation	F		
Tax Compliance Certificate (TCC)	H		
\$5,000 non-refundable application fee		R.3(1)	

Document	Relevant Section of Application Form	Regulations	Included (Please <input checked="" type="checkbox"/>)
Business Plan to include-company 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.			
Completed Personal Questionnaire for Company Dealers/Investment Advisers, "Connected Persons" (Shareholders, Officers, Directors, Responsible Officers and Representatives) of Companies Licensed, or applying to be <u>Licensed and Registered under the Financial Services Commission Acts</u>			
Completed Application Form of Responsible Officer in addition to all attachments relating.		R.6 (1&2)	
\$5,000 non-refundable application fee		R.3(1)	

Name: _____

Signature: _____

Date Submitted: _____

FSC USE

Received by: _____

All applicable documents included: Yes ___
 No ___

Date Received: _____