

**FINANCIAL SERVICES COMMISSION
CHECKLIST FOR REGISTRATION
REPRESENTATIVES OF DEALERS /INVESTMENT ADVISERS**

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 B	Regulations	Included (Please <input checked="" type="checkbox"/>)
Police Report	12		
Certificate of Marriage	4(a)		
Copy of Deed Poll	4(d)		
Copy of Passport	4(e)		
Two (2) color passport-sized photographs	4(f)		
Verification of academic qualifications. Copies of all academic qualifications must be certified by one of the following persons: 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	5	R.5(b)	
The name and full contact details of three character referees, who must not be a relative or anyone connected with the applicant's current employer (in any capacity other than a customer)	8(a)		
Signature, authorization, sworn declaration	18		
\$5,000 non-refundable application fee		R.3(1)	
Confidential Reports from two previous employers - for the 5 years preceding the date of the application			
<u>**FOR INDIVIDUALS WHO WERE PREVIOUSLY REGISTERED BY THE FSC</u>			
Option to complete a Self Verification Form – PART A by the representative and PART B by the current employer (i.e.the licensed dealer/investment advisor). <u>This will be used to expedite the process if the confidential report is not received in a timely manner.</u>			

Name: _____

Signature: _____

Date Submitted: _____

FSC USE

Received by: _____

All applicable documents included: Yes ___
No ___

Date Received: _____