

FINANCIAL SERVICES COMMISSION CHECKLIST FOR REGISTRATION RESPONSIBLE OFFICER

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 G	Regulations	Included (Please <input checked="" type="checkbox"/>)
Certificate of Marriage	C3(d)		
Copy of Passport	Section 3.E		
Two colour passport-sized photographs	Section 3.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	Section 4	R.2(a&b)	
Letter from current or former employer confirming years of service in the Securities or related industry	Section 5		
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)	Section 7.A		
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 <u>Licensed And Registered Under The Financial Services Commission Acts</u>		Section 9.(3)(ii)	
Police Report			
Resume			
Non-refundable application fee of \$5000.00	Regulation 6 of the Securities (Licensing and Registration) (Amendment) Regulations, 2001		

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: _____