

**FINANCIAL SERVICES COMMISSION  
CHECKLIST FOR REGISTRATION  
FACULTATIVE PLACEMENT BROKER - CORPORATE**

*Below is a list of documents required for registration with the Financial Services Commission. For the registration process to begin, all documents must be received at the same time. Unless marked "as applicable", each item on this list MUST be included with the registration application. Documents received will be returned if ALL the required documents are not included and properly certified.*

<b>Document</b>	<b>Relevant Section of Application Form</b>	<b>Insurance Regulations, 2001 Reference</b>	<b>Included (Please <input checked="" type="checkbox"/>)</b>
Application Form		114(1)	
Copy of receipt for payment of registration fees		114(1)(a)	
Police reports for directors, sr. managers and shareholder of 10% or higher			
Certified copies of Articles & Memorandum of Association or other instruments of incorporation			
Certificate of incorporation	3		
Evidence of professional indemnity insurance		35(2)	
Evidence of fidelity guarantee insurance		35(3)	
Evidence of security of unregistered insurers			
Audited opening balance sheet or most recent audited financial statement showing the proper capitalization	6	114(1)(b) 35(1)	
Certified copies of latest annual report			
Statement of beneficial shareholdings			
Certificate of allocation of shareholdings			
Increase in share capital (If applicable)			

Document	Relevant Section of Application Form	Insurance Regulations, 2001 Reference	Included (Please <input checked="" type="checkbox"/> )
Business plan including three year projection of premium generation, commission income, other income and projected expenses			
Certificates of competence from insurance companies, brokers and agents (If applicable)		114(1)(c)	
Fit and proper questionnaire for all directors, senior managers and shareholders of 10% or more		111(1)(i)	
Resumes for persons listed above			
Certified academic certificates and diplomas for directors, senior managers and shareholder of 10% and above	16		
Character references for directors, senior managers and shareholders - 10% or more			
Power of attorney (If applicable)			
Company organizational chart			
Group organizational chart showing related entities (If applicable)			
List of shareholders and directors of parent or ultimate holding company if different (If applicable)			

### Certifications

Documents can be certified by the following individuals:

- Application Testimonial: Justice of the Peace, Minister of Religion, Notary Public, Attorney at Law, Police Officer – Assistant Superintendent and higher
- Photographs: Justice of the Peace, Minister of Religion, Notary Public, Attorney at Law, Police Officer – Superintendent and higher
- Fit and Proper Questionnaire: Justice of the Peace, Attorney at Law
- Character References: Minister of Religion, Attorney at Law, Police Officer – Superintendent and higher

- Academic Records: Principal Officer, Company Secretary, Branch Manager
- Articles and Memorandum of Association: Registrar of Companies

Please note that the person who gives the testimonial on the application, cannot also give a character reference.

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

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

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

FSC USE

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

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

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

14-Sep-05