

APPLICATION FOR REGISTRATION OF SECURITIES DEALER’S/INVESTMENT ADVISER’S REPRESENTATIVE

VERIFICATION OF PREVIOUS EMPLOYMENT

PART A. – DECLARATION OF REPRESENTATIVE (to be completed by the person on whose behalf the application for registration as a representative is being made)

Name of representative:.....

Name of current employer:.....

Please note:

- a) All the questions below relate to the licensed securities dealer or licensed investment adviser to which the representative was previously employed while registered with the FSC as a dealer’s representative or investment adviser’s representative.
- b) If you have answered “yes” to any part of questions 3, 4 or 5 please provide details on a separate sheet of paper to be submitted along with this form.

1. Name of Securities Dealer/Investment Adviser to which the representative was previously employed:

.....
(Name of Company, Partnership or Individual Licensee)

2. Date of employment:

From:..... To:.....

3. Were you discharged, permitted to resign or did you voluntarily resign after allegations were made against you of-

a. Violating any statutes, regulations, rules or industry standards of conduct related to the provision of insurance, securities, banking or other financial services?

- No
- Yes

b. Fraud, corruption, dishonesty, theft or money laundering?

- No
- Yes

c. Failure to supervise or properly manage the provision of insurance, securities, pensions administration, banking or other financial services?

- No
- Yes

4. Were you the subject of a regulatory complaint or action from any regulatory authority or self-regulatory organization?

- No
- Yes

5. Were you the subject of an investment-related, customer initiated complaint, civil litigation or arbitration arising from allegations that you violated any statutes, regulations, rules or industry standards of conduct related to the provision of insurance, securities, pensions administration, banking or other financial services?

- No
- Yes

DECLARATION

I, the undersigned, do solemnly declare that I have read and understood the questions in this form as well as the answers made by myself thereto and that the statements of fact made therein and the attachments are to the best of my knowledge, information and belief true and correct.

Taken and Acknowledged

this.....day of , 20.....)
) (Signature of Representative)

Before me -)
.....)

Justice of the Peace (or Notary Public) for the)
parish of.....)

PART B. - EMPLOYER DECLARATION (To be completed by the representative's current employer)

I, the undersigned, do solemnly declare that(name of licensed dealer/investment adviser) has conducted satisfactory due diligence on(name of representative) and to the best of my knowledge:

1.(name of representative) was employed to(name of previous employer) as a dealer's/investment adviser's representative from.....to.....

2. In relation to his/her services to(name of previous employer),(name of representative) was not discharged, permitted to resign or voluntarily resigned after allegations were made against him/her of-
 - a. Violating any statutes, regulations, rules or industry standards of conduct related to the provision of insurance, securities, pensions administration, banking or other financial services;

 - b. Fraud, corruption, dishonesty, theft or money laundering;

 - c. Failure to supervise or properly manage the provision of insurance, securities, pensions administration, banking or other financial services.

Taken and Acknowledged

this.....day of, 20.....)

.....)

(Signature of Authorized Officer, Partner or

Before me -)

Individual Licensee)

.....)

Justice of the Peace (or Notary Public) for the)

parish of.....)