

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

*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) Fifteenth Schedule	
Copy of receipt for payment of registration fees		114(1)(a)	
Police Report			
Certified evidence of registration as a sole proprietor from the Registrar of Companies			
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 financial statement reflecting the required capital		114(1)(b) 35(1)	
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)	
Two certified passport size photos			
Signature for I.D. card			

Document	Relevant Section of Application Form	Insurance Regulations, 2001 Reference	Included (Please <input checked="" type="checkbox"/> )
Fit and proper questionnaire		111(1)(g)	
Credit Report from a credit bureau	11		
Two character references			
Certified academic certificates and diplomas			
Name change certificate – marriage, divorce, etc. (As 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

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: \_\_\_\_\_