

CHECKLIST FOR THE REGISTRATION OF A REGISTERED REPRESENTATIVE

Name of Applicant: _____

	Documents	Submitted	Comments
1.	Registration fee* for each Registered Representative – TT\$2,000 per representative.	<input type="checkbox"/>	
2.	Form 3A – outlining particulars of the persons being registered as Registered Representatives.	<input type="checkbox"/>	
3.	Appendix 1 to Form 3A – List of persons to be registered as Registered Representatives.	<input type="checkbox"/>	
4.	Confirmation of the effective date of employment and electronic mail address of each person being registered as a Registered Representative with the Broker-Dealer, Investment Adviser or Underwriter.	<input type="checkbox"/>	
5.	Schedule identifying the other Registered Representatives in the employ of the Broker-Dealer, Investment Adviser or Underwriter. Please ensure this schedule includes both the name and category of each Registered Representative.	<input type="checkbox"/>	
6.	Form 3B – for each person being registered as a Registered Representative. To be completed for each Registered Representative and retained by the registrant. <i>N.B. The Commission does not require the Form 3B to be submitted with the application.</i>	<input type="checkbox"/>	

Signature of Designated Person

Date

Please note that all fees are payable at the submission of the application and are **non-refundable. Additionally, please submit the completed Checklist together with the application.*