

FINANCIAL SERVICES COMMISSION

SECURITIES ACT CAP. 318A AND ITS REGULATIONS

CHECKLIST - APPLICATION FOR INITIAL REGISTRATON:

Self-Regulatory Organisations

Instructions for using the checklist

1. The checklist must accompany completed applications¹
2. All documents requiring certification must be clearly certified as true copies of the original by an appropriate person. Persons who may certify documents include; a Justice of the Peace, Attorney-at-law, or a Notary Public.
3. All documents that are not in English must be accompanied by a certified English translation.
4. "N/A" should be used where a document outlined below is not applicable.

Select the appropriate option:

The application is being submitted for: Stock Exchange
 Central Securities Depository

State full name: _____

The following have been submitted:

<input type="checkbox"/>	Completed application form - Form 1 – Application for Registration as a Self-Regulatory Organisation
<input type="checkbox"/>	Business plan
<input type="checkbox"/>	Copy of rules
<input type="checkbox"/>	Confirmation of the Applicant's bankers
<input type="checkbox"/>	Names, Addresses, Occupation and Qualifications of Seat Holders of each Member
<i>Certified copies of the company's corporate documents</i>	
<input type="checkbox"/>	Articles of Incorporation
<input type="checkbox"/>	Certificate of Incorporation
<input type="checkbox"/>	Notice of Address / Change of Address
<input type="checkbox"/>	Articles of Amendment
<input type="checkbox"/>	Certificate of Amendment (where applicable)
<input type="checkbox"/>	Notice of Directors / Change of Directors / Register of Directors
<input type="checkbox"/>	External Company - Certificate of Registration

¹ The application form must be accompanied by such other information or documentation known to the Applicant required to support the application.

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<input type="checkbox"/>	External Company Annual Return
<input type="checkbox"/>	By-laws / Memorandum of Association
<input type="checkbox"/>	Any other corporate documents required in accordance with Section 448(g) of the Companies Act, Cap. 308
<input type="checkbox"/>	Register of beneficial owners

DUE DILIGENCE REQUIREMENTS²

The following have been submitted for each of the relevant persons:

<input type="checkbox"/>	Completed Fit and Proper Questionnaire
<input type="checkbox"/>	Curriculum Vita /Resume
<input type="checkbox"/>	Police Certificate of Character <i>(In the absence of same, some confirmation <u>in writing</u> such as an affidavit, that the relevant person has no criminal record or has not been convicted of a serious crime or any offence involving dishonesty or is not subject of a current criminal hearing or proceeding must be sent)</i>
<input type="checkbox"/>	Notarized/certified copy of the signature and photo pages of a valid passport
<input type="checkbox"/>	Proof of address: copy of utility bill/ bank statement/ credit card statement dated within the last 3 months

ANY ADDITIONAL INFORMATION/DOCUMENTATION PROVIDED IN SUPPORT OF THE APPLICATION

1	
2	

FEES

Payment has been submitted based on the following:

	Category	Prescribed fee
<input type="checkbox"/>	Stock Exchange	0.1% value of transaction for previous year with a minimum of BDS\$50,000
<input type="checkbox"/>	Depository	BDS\$10,000

Payment method

Cheque No.: _____ Draft No.: _____ Wire Transfer (provide confirmation)

² The following must be completed and submitted for each director; senior officer and beneficial owner of the applicant.