

**CHECKLIST FOR RENEWAL OF BRANCH OFFICES OF BROKER-
DEALERS, INVESTMENT ADVISERS AND UNDERWRITERS**

Name of Applicant: _____

Name of Branch Office: _____

Location of Branch Office: _____

	Documents	Submitted	Comments
1.	Renewal Fee* – TT\$3,000 per branch office.	<input type="checkbox"/>	
2.	Form 7 for each branch office being registered.	<input type="checkbox"/>	
3.	A copy of written supervisory, internal controls and risk management policies and procedures, if: 1. these are different from the parent registrant; or 2. there were any changes to the Branch Office's policies and procedures since last submission.	<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.*