

FORM 2B

REGISTRATION AS AN INVESTMENT ADVISER (INDIVIDUALS ONLY)

**Pursuant to Section 56(1) of the Securities Act, 2012 and By-law 19 of the Securities
(General) By-Laws, 2015**

General Instructions:	<p>Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced. See detailed list of required attachments.</p> <p>This form and any attachments must be certified by the Applicant.</p> <p>Completed applications should be submitted to:</p> <p style="padding-left: 40px;">The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission Levels 22-23, Tower D International Waterfront Centre 1 Wrightson Road Port of Spain, Trinidad</p>
Item 1	Please mark “x” by the relevant checkbox to indicate the type of registration being sought. I.e. initial registration, renewal, or re-instatement.
Item 2	State the exact name of the Applicant.
Item 3	State the Applicant’s residential address, telephone numbers, fax numbers, email addresses and other details.
Item 4	List the Banks and branches where the Applicant maintains accounts and identify account numbers and currency.
Item 5	List all memberships that the Applicant has with self-regulatory organizations in any jurisdiction.
Item 6	State whether the Applicant has ever been registered or disciplined. If “yes”, please provide full details as an attachment to this Form. Please note that this question refers to <u>ALL</u> Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any

	convictions for which a pardon has been granted, and which pardon has not been revoked.
Item 7	Please enter any additional information required to establish the Applicant's qualification and suitability for registration
Item 8	Date the application. Include the signature of the Applicant.

Required Attachments:

1. Two (2) passport-sized photographs.
2. A copy of a valid form of identification (passport, driver's permit or national identification card).
3. Documentary evidence of having at least three years' securities related work experience.
4. Certified copy of relevant degree or relevant qualification. These documents shall be certified by either a Notary Public or Commissioner of Affidavits.
5. A copy of the Applicant's business plan which must clearly describe the activities that the Applicant intends to conduct in securities.
6. A copy of the Applicant's written supervisory, internal controls and risk management policies and procedures
7. Evidence of the Applicant's registration with any other regulatory authority, if applicable.
8. Evidence of ability to satisfy Capital Requirement of TT\$50,000. Evidence of satisfying the capital requirement would include a duly completed original Hypothecation Agreement which is to be submitted in triplicate.
9. The relevant application fee.

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Pursuant to Section 56(1) of the Securities Act, 2012 and By-law 19 of the Securities (General) By-Laws, 2015

1. TYPE OF APPLICATION

Initial	<input type="checkbox"/>
Renewal	<input type="checkbox"/>
Re-instatement	<input type="checkbox"/>

2. NAME OF APPLICANT

Name of Applicant

3. CONTACT INFORMATION OF APPLICANT

Residential Address				
Business Address (if different from above)				
Home Phone	Work Phone	Ext.	Mobile Phone	Fax Number
Email Address		Date of Birth		Nationality
Type of ID		ID Number		Country of Issue

4. BANKING INFORMATION

Name of Bank	Branch Address	Account Number (s)	Currency

5. MEMBERSHIPS IN SELF-REGULATORY ORGANIZATIONS (All Jurisdictions)

Self-Regulatory Organization	Member Number	Year Joined

6. REGISTRATION AND DISCIPLINARY HISTORY

State whether the Applicant has ever been registered or disciplined as indicated below. If “yes”, please provide full details as an attachment to this Form.

	YES	NO
1. Has the Applicant, to the best of the Applicant’s knowledge, information and belief:		
a) Been registered in any capacity under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
b) Applied for registration, in any capacity, under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the Applicant, to the best of the Applicant’s knowledge, information and belief ever been:		
a) Registered or licensed in any capacity in any other country which requires registration or licensing to deal or trade in securities?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
b) Registered or licensed in any other capacity in Trinidad and Tobago under any legislation which requires registration or licensing to deal with the public in any capacity? (E.g. as an insurance agent, real estate agent, private investigator, mortgage broker, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
c) Refused registration or a licence mentioned in 1 (a) or (b) or 2 (a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in 1 (a) or (b) or 2 (a) or (b) above?	<input type="checkbox"/>	<input type="checkbox"/>
d) Denied the benefit of any exemption from registration provided by the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Applicant, to the best of the Applicant's knowledge, information and belief ever been:		
a) A member of any Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
b) Refused membership in any Investment Dealers Association, Investment Bankers Association, or similar organization in any country?	<input type="checkbox"/>	<input type="checkbox"/>
c) Suspended as a member of any Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
d) Disqualified as a member of any Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
<i>INSTRUCTION: Question 4 refers to ALL Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked.</i>		
4. Has the Applicant, or to the best of the Applicant's information and belief:		
a) Ever been the subject of an investigation conducted by a regulatory or criminal investigative body?	<input type="checkbox"/>	<input type="checkbox"/>
b) Ever been convicted under the laws of any country, excepting minor traffic offences?	<input type="checkbox"/>	<input type="checkbox"/>
c) Ever had or currently has any outstanding charge or indictment against him?	<input type="checkbox"/>	<input type="checkbox"/>
d) Ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein a claim involving fraud or dishonesty was brought against him?	<input type="checkbox"/>	<input type="checkbox"/>
e) At any time been declared bankrupt, or made a voluntary assignment in bankruptcy? (If "yes", give particulars and also attach a certified copy of discharge)	<input type="checkbox"/>	<input type="checkbox"/>
f) Ever been refused a fidelity / surety bond?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
g) Ever been barred from operating within the financial or securities industry of Trinidad and Tobago or elsewhere by the Commission, any other regulatory body or court of law?	<input type="checkbox"/>	<input type="checkbox"/>

7. ADDITIONAL INFORMATION

Please provide any additional information required to establish the Applicant's qualification and suitability for registration

8. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, 2012.

Print Name	Signature	Date
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End of Form

FOR OFFICIAL USE ONLY

Tool	ID Information
Registrant's Number	
Director's Number	
Document / Record Number	
Record's Management Date Received (dd/mm/yyyy)	

Approved By : _____ Date (DD/MM/YYYY) _____

