

FORM 4

**REGISTRATION OF SPONSORED BROKER-DEALER OR SPONSORED
INVESTMENT ADVISER**

**Pursuant to Section 51(5) of the Securities Act, 2012 and By-law 23 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 should be certified by 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	<p>Please mark “x” by the relevant checkbox to indicate the category of registration being sought.</p>
Item 2	<p>Please state the full name of the Applicant. Also, provide a copy of a valid Government issued passport and full contact details of such person which shall include:</p> <ul style="list-style-type: none">(i) the Applicant’s principal business address, email address, telephone numbers, fax numbers and other details in the designated foreign jurisdiction.(ii) the address where the Applicant will be staying and address at which business will be conducted in Trinidad and Tobago including telephone numbers and fax numbers.
Item 3	<p>State the designated foreign jurisdiction in which the Applicant is registered.</p>

Item 4	State the category of registration of the Applicant under the relevant legislation in the designated foreign jurisdiction.
Item 5	State the name, full contact and other details of the Applicant's employer in the designated foreign jurisdiction.
Item 6	State the name, full contact and other details of the sponsoring broker-dealer or investment adviser registered under Section 51(1) of the Securities Act, 2012. Attach a letter from the sponsoring broker-dealer or investment adviser to this application confirming its sponsorship.
Item 7	<ul style="list-style-type: none"> i. State the proposed date(s) that the Applicant will be engaging in the activities of a broker-dealer or investment adviser in Trinidad and Tobago. ii. State the previous date(s) the Applicant engaged in activities of a broker-dealer or investment adviser in Trinidad and Tobago.
Item 8	Please mark "x" by the relevant checkbox.
Item 9	Please enter any additional information required to establish the Applicant's qualification and suitability for registration.
Item 10	Date the application. Include the signature of the Applicant.

Required Attachments:

1. Evidence that the Applicant's registration in the designated foreign jurisdiction is in good standing.
2. Evidence that the registration of the Applicant's employer in the designated foreign jurisdiction is in good standing.
3. Letter from sponsoring broker-dealer or investment adviser registered under Section 51(1) of the Securities Act, 2012 wherein he/she agrees to sponsor the Applicant for registration under Section 51(5) of the Securities Act, 2012.
4. Copy of valid Government issued passport.
5. The relevant application fee.

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1. CATEGORY OF REGISTRATION

Sponsored Broker-Dealer	<input type="checkbox"/>
Sponsored Investment Adviser	<input type="checkbox"/>

2. APPLICANT INFORMATION

FOREIGN JURISDICTION							
Name (First, Middle, Last)							
Principal Business Address							
Work Phone (1-xxx-xxx-xxxx)		Ext.		Fax Number (1-xxx-xxx-xxxx)		Ext.	
Website				Email Address			
Date of Birth				Nationality			
Passport Number				Country of Issue			

LOCAL							
Local Address (Residential)							
Local Address (Business)							
Work Phone (1-xxx-xxx-xxxx)		Ext.		Fax Number (1-xxx-xxx-xxxx)		Ext.	
Residential Phone				Mobile Phone			

3. NAME OF FOREIGN JURISDICTION

Name of Foreign Jurisdiction

4. CATEGORY OF REGISTRATION IN FOREIGN JURISDICTION

Broker-Dealer (or its equivalent)	<input type="checkbox"/>
Investment Adviser (or its equivalent)	<input type="checkbox"/>
Other	<input type="checkbox"/>
If "Other", please specify below:	

5. EMPLOYER DETAILS IN FOREIGN JURISDICTION

Employer's Name (Registered name of company)			
Principal Business Address			
Work Phone (1-xxx- xxx-xxxx) Ext. xxx		Fax Number (1- xxx-xxx-xxxx)	
Email Address			
Website			
Name of Senior Officer at Employer (First, Middle, Last)			
Job Title of Senior Officer			
Work Phone of Senior Officer (1-xxx-xxx- xxxx) Ext. xxx			
Email Address of Senior Officer			
Job Title of Applicant in Organization			

6. LOCAL SPONSOR DETAILS

Sponsoring Company's Name (Registered name of company)			
Principal Business Address			
Work Phone (1-xxx-xxx-xxxx) Ext. xxx		Fax Number (1-xxx-xxx-xxxx)	
Email Address			
Website			
Name of Senior Officer (First, Middle, Last)			
Job Title of Senior Officer			
Work Phone of Senior Officer (1-xxx-xxx-xxxx) Ext. xxx			
Email Address of Senior Officer			

7. PROPOSED AND PREVIOUS DATES OF ACTIVITY

Proposed Dates	
From (DD/MM/YYYY) Inclusive of	To (DD/MM/YYYY) Inclusive of

	YES	NO
Has the Applicant been previously registered in the category stated at item 1 above in Trinidad and Tobago?	<input type="checkbox"/>	<input type="checkbox"/>

If "Yes", please state the period that the Applicant was registered as a sponsored broker-dealer or investment adviser below.

Previous Dates	
From (DD/MMM/YYYY) Inclusive of	To (DD/MMM/YYYY) Inclusive of

8. APPLICANT QUESTIONNAIRE

Answer the questions in the table below. If “yes”, please provide full details as an attachment to this Form.	YES	NO
Is the Applicant an individual of at least twenty-one (21) years of age?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Applicant a resident of Trinidad and Tobago?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Applicant registered in any capacity under the Securities Act, 2012? If “yes”, state the category of registration in which the Applicant is registered.	<input type="checkbox"/>	<input type="checkbox"/>
Is the Applicant a senior officer or employee of a registrant registered under Section 51(1) of the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Applicant the subject of any disciplinary proceedings by any self-regulatory organization or competent securities regulatory authority in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Applicant’s registration in the designated foreign jurisdiction in good standing? Provide evidence that the registration is in good standing.	<input type="checkbox"/>	<input type="checkbox"/>
To the best of the Applicant’s knowledge and belief, is the registration of the registered broker-dealer or investment adviser (or the equivalent or similar) with whom the Applicant is employed in good standing in the designated foreign jurisdiction? Provide evidence that the registration is in good standing.	<input type="checkbox"/>	<input type="checkbox"/>

9. ADDITIONAL INFORMATION

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

10. 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

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) _____

