

FORMS

FORM NO. 1

(By-law 10)

APPLICATION FOR REGISTRATION AS A SELF-REGULATORY ORGANIZATION

(Pursuant to section 36(2) of the Securities Industry Act, 1995)

1. Name of Applicant (state exact name as specified in constituent document)

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2. Country of Incorporation or Organization of Applicant

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3. If incorporated in a country other than Trinidad and Tobago, is the Applicant registered in Trinidad and Tobago?

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4. Type of Business Applicant proposes to carry on

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5. Does the Applicant have Rules for the governance of its Members? (The Rules of the Applicant must accompany this Application)

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6. Has the Applicant or a Director or Officer of the Applicant ever been refused registration by the Trinidad and Tobago Securities and Exchange Commission?

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7. Name and Address of Principal Executive Officer of the Applicant

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8. Names and Addresses of Members of Board of Directors of Applicant

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9. Address and Telephone Number(s) of Applicant's Principal Place of Business

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