

SECURITIES COMMISSION OF THE BAHAMAS

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FORM C

(Regulation 27)

APPLICATION FOR REGISTRATION AS A BROKER OR STOCKBROKER

Applicant's Full Name: _____

Position / Job Title: _____

Date of Birth: _____ Nationality: _____

Home Address: _____

Home Telephone: _____ Facsimile: _____

E-Mail: _____ P.O. Box: _____

Details of past and present registrations with any other regulatory authority (including CRD number if applicable or any other identification number assigned by a regulator).
(Please attach).

Has the applicant ever been terminated, dismissed or allowed to resign as an alternative to dismissal from any securities-related or financial institution?

Circle the response that applies **Yes No**
(If **"YES"** please attach **full details** of **all** such actions on a separate sheet(s) of paper).

Has the applicant ever been the subject of any disciplinary proceedings by a regulatory body of the financial services industry? Circle the response that applies **Yes No**
(If **"YES"** please attach **full details** of **all** such actions on a separate sheet(s) of paper).

Has the applicant ever been found to be the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?
Circle the response that applies **Yes No**
(If **"YES"** please attach **full details** of **all** such occurrences on a separate sheet(s) of paper).

Has the applicant been charged with or convicted of any misdemeanour, felony or other offence in any country? Circle the response that applies **Yes No**
(If **"YES"** please attach **full details** of **all** such offences, the jurisdictions where they occurred and the outcome on a separate sheet(s) of paper).

THE FOLLOWING DOCUMENTS ARE TO ACCOMPANY THE APPLICATION FORM

Family data, **a copy of Work Permit or Permanent Residence Permit (for non-Bahamian citizens)**, educational and professional qualifications (qualification, granting institution and dates), detailed employment history (positions held, name of institution and period of service), character and financial references are to be submitted. **(Please attach on a separate sheet of paper)**

A copy of the relevant pages of the applicant's passport (to include name, date of birth, nationality, signature, expiration date and photograph), along with three recent photographs individually signed on the back by the applicant.

Applicant's current Police Certificate (not more than three months old).

Evidence of professional qualifications

The application fee. **(See enclosed schedule of fees)**

Upon approval of the application by the Commission, applicants will be notified of the Commission's decision and will be required to submit the Registration Fee (pro-rated) and the Annual Fee to the Commission.

Attestation by the Applicant

I, _____ hereby affirm that to the best of my knowledge, information and belief, the contents of this application are correct and true.

Signature

Date

For and on behalf of the Firm

_____ requests that _____
Name of Firm

Name of Applicant

be registered as a **Broker / Stockbroker** under the Securities Industry Act, 1999.

Name of Chief Executive Officer

Signature of Chief Executive Officer

Date