

SECURITIES COMMISSION OF THE BAHAMAS

3rd Floor, Charlotte House
Shirley & Charlotte Streets
P. O. Box N-8347
Nassau, Bahamas

Tel: (242) 356-6291/2
Fax: (242) 356-7530
E-Mail: info@scb.gov.bs
Website: www.scb.gov.bs

FORM D APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON

(Regulation 29)

Applicant's Full Name: _____

Position / Job Title: _____

Date of Birth: _____ Nationality: _____

Home Address: _____

Home Telephone: _____ Facsimile: _____

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

Has the applicant ever been terminated, dismissed or allowed to resign as an alternative to dismissal from any financial services 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 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).

The application fee. *(See enclosed scheduled 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 an **Associated Person** under the Securities Industry Act, 1999.

Name of Chief Executive Officer

Signature of Chief Executive Officer

Date