



SECURITIES COMMISSION OF THE BAHAMAS

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SECURITIES INDUSTRY REGULATIONS 2012 SCHEDULE 2 (Regulation 48)

FORM 12

Notice of Termination, Resignation or Retirement of Registered Individual by Registered Firm

Item 1 - Name and Address of Registered Firm

State full legal name of the registered firm giving notice. Provide principal business address, email address(es), telephone numbers and fax numbers.

Name: _____

Address: _____

Email: _____

Phone: _____

Fax: _____

Item 5 – Senior Officer

Give the name, business telephone number and email address of a senior official of the registered person who is knowledgeable about the notice, and who may be contacted to discuss it.

Name: _____

Phone: _____

Email: _____

Item 6 – Effect of Termination

Include the following statement on the notice —

"The termination of employment of a registered individual results in the immediate suspension of that person's registration, until such time as notice of reinstatement of registration has been given by the Commission."

Item 7 – Date the Report

Date

Item 8 – Certification and Signature

ATTESTATION:

“I, the undersigned, hereby affirm that to the best of my information, knowledge and belief, the contents of this form and any attachments provided with this form are true, correct and not misleading.”

Senior Officer

WARNING: Intentional misstatement or failure to disclose information may constitute an offence.

Completed applications should be submitted to:

The Supervision Department
Securities Commission of The Bahamas

Note: A copy of the completed Form is to be provided to the Commission and to the terminated employee.