



# SECURITIES COMMISSION OF THE BAHAMAS

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## SECURITIES INDUSTRY REGULATIONS 2012 SCHEDULE 2 (Regulation 15)

### FORM 2

#### **Notice of Appointment, Termination or Resignation of Auditors**

##### Item 1 - Name and Addresses of Affected Parties

State the names, principal business addresses and provide email address(es), telephone numbers and fax numbers of –

(a) the person under Part V of the Act, registered firm or public issuer giving the notice;

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

(b) the newly appointed auditor;

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

(c) the auditor whose appointment is being terminated or is resigning (if any).

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Item 2 - Description of Change and Effective Date

Provide information regarding –

(a) The reason for the appointment, termination or resignation of auditors;

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) The effective date of the appointment, termination or resignation;

\_\_\_\_\_

(c) Whether the auditor's report for either of the past two years included an adverse opinion, a disclaimer of opinion or any qualification of the auditor's opinion;

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(d) Whether there were disagreements with the former auditor on any matter of accounting principles or practices, financial statement disclosure, or auditing scope or procedure that if not resolved to the satisfaction of the former auditor, would have caused the auditor to make reference to the subject of the disagreements, provide details of the relevant issues.

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### Item 3 – Contact Person

Give the name, business telephone number and email address of a senior officer of the person under Part V of the Act, registered firm or public issuer who is knowledgeable about the change, and who may be contacted to discuss it.

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

### Item 4 – Date the Report

\_\_\_\_\_  
Date

Item 7- 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.”**

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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