



# SECURITIES COMMISSION OF THE BAHAMAS

Poinciana House  
North Building, 2<sup>nd</sup> Floor  
31A East Bay Street  
P.O. Box N-8347  
Nassau, Bahamas

Tel: (242) 397-4100  
Fax: (242) 356-7530  
E-mail: [info@scb.gov.bs](mailto:info@scb.gov.bs)  
Website: [www.scb.gov.bs](http://www.scb.gov.bs)

## SECURITIES INDUSTRY REGULATIONS 2012 SCHEDULE 2 (Regulation 34 & 46)

### FORM 6

#### Notice of Proposed issue or Transfer of Securities of a Person Registered under Part V of the Act or Registered Firm

##### **Item 1 - Name of Registered Person**

State full legal name of the person registered under the Act.

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

##### **Item 2 - Full Business Contact Details of Registered Person**

State the person's principal business address and provide email address (es), telephone numbers and fax numbers.

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

\_\_\_\_\_

\_\_\_\_\_

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

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

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

**Item 3 - Category of Registration**

State the person's category or categories of registration under the Act.

- Dealing in Securities
- Managing Securities
- Arranging Deals in Securities
- Advising on Securities

**Item 4 - Details of Changes Giving Rise to Notice**

Provide details of the proposed issue or transfer of securities of the registered person, including number of securities to be issued or transferred, the names of the selling security holder(s) and acquiring security holder(s), the percentage holdings of each person before and after the proposed transaction and the date of the proposed transaction.

Provide a completed Form 4 for each acquiring person.

---

---

---

---

---

---

---

**Item 5 - Contact Person at Registered Person**

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: \_\_\_\_\_

Business Telephone: \_\_\_\_\_

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

**Item 6 – Date the Form**

\_\_\_\_\_  
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.”**

\_\_\_\_\_  
Senior Officer

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

Completed applications should be submitted to:

The Market Surveillance Department  
Securities Commission of The Bahamas