



## SECURITIES COMMISSION OF THE BAHAMAS

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### SECURITIES INDUSTRY (CONTRACTS FOR DIFFERENCES) RULES, 2020 (Rule 6(2) AND Form CFD 4)

#### Application for Registration as a CEO, Compliance Officer, CFD Supervisory Officer or Registered Representative of Registered CFD Firm

**General Instructions:** Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced in the form and the reference index attached. See detailed list of required attachments at the end of this document. This form should be certified by the Chief Executive Officer and Treasurer (see the Attestation).

Completed applications should be submitted to:

#### **Supervision Department**

Securities Commission of The Bahamas  
Poinciana House North Building,  
2nd Floor 31A East Bay Street  
P.O. Box N-8347  
Nassau, The Bahamas

Or via email to: [SUDfilings@scb.gov.bs](mailto:SUDfilings@scb.gov.bs)

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

#### **A. PERSONAL DETAILS**

*(Answers to be provided by all applicants under these Rules unless otherwise indicated)*

##### **1. Name of the registered firm**

Current employer in case of person registered with the Commission:

Please include registration number:

**2. Full legal name of Applicant:**

Surname, Given Names:

Include Registration Number with Commission, if applicable:

List any previous names of Applicant:

**3. Contact Details**

Personal telephone numbers (mobile and landline):

Personal email:

Personal mailing address (include full street address city country and where applicable post office box number, state/ province, postal/zip code):

**4. Indicate current role(s) with registrant, if applicable:**

Chief Executive Officer:

Compliance Officer:

Representative:

Trading (Securities other than CFD)

Trading (CFD)

Not Applicable

**5. Indicate current role(s) for which applying**

Chief Executive Officer:

Compliance Officer:

Representative:

Trading (Securities other than CFD)

Trading (CFD)

**6. Indicate if this is an application for reinstatement of a previous registration**

No

Yes

If yes, attach full details of previous registration.

**7. Previous Home Address**

Previous home addresses during the last ten years (with relevant dates)

*\*For persons not applying under current registration only*

Previous Address 1:

Dates at this address:

Previous Address 2:

Dates at this address:

Previous Address 3:

Dates at this address:

**8. Date of birth**

**9. Place of birth (including town, state and country)**

*\*For persons not applying under current registration only*

**10. Citizenship**

The Bahamas

Other:

**11. Identification number**

(Passport No., Voters Registration No., National Identification No., Social Security No., Tax Identification No. or specify other type)

*\*For persons not applying under current registration only*

Number:

Type:

**B. EMPLOYMENT AND EDUCATIONAL HISTORY**

**12. Present occupation or employment including:**

the name, telephone number, email and address of the employer the name of

business

title of position held;

relevant start date

Provide the name, position, telephone number of a reference

*\*For persons not applying under current registration only.*

**13. Prior occupations and employment during the last ten years including:**

the name, telephone number, email and address of the employer

the name of business

title of position held

relevant start date

For each employer, provide the name, position, email and telephone number of a reference

*\*For persons not applying under current registration only.*

**14. List companies where Applicant —**

a) is currently a director or significant security holder:

b) has been a director or significant security holder at any time during the last ten years?

**15. Describe the formal education or training the applicant has in securities, derivatives or CFD-related activities (including qualifications and year in which they were obtained).**

**16. Do you have any other professional qualifications (e.g. lawyer, accountant, etc.)?**

*\*For persons not applying under current registration only.*

No

Yes

(If yes, attach full details.)

**17. Are you or have you ever been a director, officer, security holder, or employee of any other entity registered with the Commission? If yes, please provide details.**

*\*For persons not applying under current registration only.*

No

Yes

(If yes, attach full details.)

**18. Have you ever been licensed as a registered representative or similar capacity in any other jurisdiction?**

No

Yes

(If yes, attach full details.)

### C. DISCIPLINE HISTORY

19. Have you or any person with which you were associated as a director, security holder, manager, officer or significant security holder, in any jurisdiction, been disciplined by any stock exchange, securities regulatory body or professional association or been denied admission, registration or renewal or had a membership or registration revoked?

No

Yes

(If yes, attach full details.)

20. Have you or any person with which you were associated as a director, security holder, manager, officer or significant security holder, in any jurisdiction ever been declared bankrupt, been convicted of a crime or been sued under any commercial law, securities law, companies law or law concerning fraud?

No

Yes

(If yes, attach full details.)

21. Have you, at any time, been involved with an application for regulatory approval in any jurisdiction where that application has been refused or withdrawn?

No

Yes

(If yes, attach full details.)

22. Have you, in any jurisdiction, been dismissed from any office or employment or barred from entry to any profession or occupation?

No

Yes

(If yes, attach full details.)

23. Has any person with which you were associated as a director, manager, officer or security holder, in any jurisdiction, been compulsorily wound up or made any arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while you were associated with it or within one year after you ceased to be associated with it.

No

Yes

(If yes, attach full details.)

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 and that I am in compliance with all the applicable provisions of the Act. I undertake that, as long as I continue to be the Chief Executive Officer, Compliance Officer, CFD Supervisory Officer or registered representative of the registered firm, I will —

- (a) comply with all the applicable provisions of the Act and these Rules; and
- (b) notify the Commission immediately of any material changes affecting the completeness of the answers to any of the questions above.

I also hereby authorize the Commission to make such enquiries and seek such further information as it thinks appropriate in verifying the information given in this Application, or in any other documents submitted as part of this application, for the purposes of performing its due diligence and background checks. I understand that the results of these checks may be disclosed to the CFD firm that submitted this application.

Date:	Signature:
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#### Sponsoring CFD firm

Provide intended date of employment of this Applicant:	
<b>Notice: The CFD firm is required to give immediate notice to the Commission if the Applicant does not commence employment with the CFD firm on the date noted above.</b>	

#### Authorization from Senior Officer or Director of Registered Firm

Date:	Signature:
	Title:

Other documents to be attached:

1. A copy of Work Permit or Permanent Residence Permit (for non- Bahamian citizens).
2. A copy of the relevant pages of the applicant's passport (to include name, date of birth, nationality, signature, expiration date and photograph), if not currently registered with the Commission.
3. Applicant's current Police Certificate (not more than three months old) or an affidavit in acceptable form, if the Police Certificate is not available.
4. Three recent photographs of Applicant, individually signed on the back by the Applicant, if not currently registered with the Commission.
5. Copy of any relevant degree(s), educational course(s) passed, if not currently registered with the Commission.
6. An application fee must be submitted with this application. The appropriate fee can be found in the Fee Rules.