

## **TTSEC Registration Checklist**

### **Securities Company**

#### **Documents to submit:**

- Registration fee of US \$100
- Registration Form No. 3 dated and signed by all members of the board of directors
- Form No. 2 for the company stating the classes of business to be undertaken.
  - If the company wishes to conduct business of trading in securities on behalf of others,
    - documentary evidence that the company has a full time individual registered as a broker is to be provided.
- A statement signed by the CEO and two (2) directors of the company stating that the company has no interests, direct or indirect, that may conflict with or be likely to affect the conduct and integrity of its business as a securities company.
- A statement signed by the CEO and two (2) directors of the company stating that the company has no receiver or receiver manager appointed in respect to its undertaking.
- Conflict of Interest Rules Statement signed by the CEO and two (2) directors
- List of names and addresses of directors and directorships held in other entities including
  - subsidiaries of the company and international companies
- If not previously registered, Form No. 2 for each director, dated and signed by the director
- A list of names and residential addresses of shareholders holding an interest of 10% or greater in
  - the company
- Evidence of capital requirements where the company's business is:
  - Broking only - TT\$400,000
  - Extends to equities and other securities - TT\$1,000,000
  - In other activities, in addition to broking for which registration under the SIA is required - TT\$5,000,000
- Certified copies of the company's constituent documents
- Latest audited financial statements/annual report or in the absence of such an unaudited balance

sheet of the company along with the Accountant's/Auditor's Certificate confirming the amount of paid up capital. This provides documentary evidence of the capital requirement for registration

- For each person who will be responsible for the company's obligations as a Securities Company:
  - Form No. 2, to be dated and signed by that individual, who should be either a director or full time employee
  - Documentary evidence that the he/she is either registered as a broker, or holds a degree or professional qualification in economics, banking, law, accountancy, business administration or chartered secretaryship
  - Statement declaring that he/she has no interests, direct or indirect, that may conflict with or be likely to affect the conduct and integrity of his/her business as Broker and/or Dealer and/or Investment Adviser and/or Underwriter
  - Statement declaring that he/she has no receiving or bankruptcy order made against him/her that remains undischarged
  - Two passport-sized photographs