
EASTERN CARIBBEAN SECURITIES REGULATORY COMMISSION



FORM 4

APPLICATION FORM

FOR

PRINCIPAL OR REPRESENTATIVE LICENCE

Revised
August 2017

EASTERN CARIBBEAN SECURITIES REGULATORY COMMISSION

FORM 4

APPLICATION FOR PRINCIPAL OR REPRESENTATIVE LICENCE

Application for a principal or representative* licence under the Act is made as follows:

| | | |
|--------|---|----------------|
| 1. (a) | Applicant's surname | Other names |
| (b) | Residential address | Telephone No. |
| (c) | Date of birth | Place of birth |
| (a) | No. of years applicant has resided in [Territory] | Nationality |
| (e) | Occupation for which licence is sought: | |
| (f) | Full name of employer: | |
| (g) | The full address at which the business of the employer is to be carried on: | Telephone No. |
| (h) | Nature of business of the principal/representative | |

| | |
|-----|---|
| (i) | Address of place at which Register under section 86 of the Act will be kept |
| (j) | Present remuneration arrangement with employer: salary, commission or both |
| (a) | Directorship in companies in [Territory] or elsewhere |

*Delete whichever is inapplicable.

2. (Answer “Yes” or “No” in the space provided. If “Yes” attach annexure giving all relevant particulars.) Has the applicant within the past 10 years

(a) been licenced or registered in any place under any law which requires licensing or registration to deal or trade in securities or act as principal or representative?

(b) been licenced, registered, or otherwise authorised by law to carry on any trade, business or profession in any place?

(c) been refused the right or restricted in the applicant’s right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place?

(d) been a shareholder in a member firm of any securities exchange?

(e) been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?

(f) been refused membership of any securities exchange? _____

(g) carried on business under any name other than the name or names shown in this application in paragraph 1 (a)? _____

(h) been convicted of any offence, other than a traffic offence, in [Territory] or elsewhere or are there any proceedings now pending which may lead to such a conviction? _____

(i) had judgement including findings in relation to fraud, misrepresentation, or dishonesty been given against the applicant in any civil proceedings, in [Territory] or elsewhere? (If “Yes”, attach annexure giving full details, including whether judgement is unsatisfied) _____

(j) been refused a fidelity or surety bond, in [Territory] or elsewhere? _____

(k) been declared a bankrupt or compounded with or made an assignment for the benefit of the applicant’s creditors in [Territory] or elsewhere? _____

(l) been disqualified as a director of a company, or been a director of a company that has gone into receivership or liquidation, in [Territory] or elsewhere? _____

3. Has the applicant had any experience in performing the functions of a principal or representative? (Answer “Yes” or “No”) If “Yes” attach annexure giving all relevant particulars. _____

4. Set out below details of the applicant's employment and business activities during the previous 10 years:

| <i>Name and Address of Employer (if self-employed, so state)</i> | <i>Nature of Business</i> | <i>Description of Duties in Relation to the Employment or Activity</i> | <i>Period of Employment or Activity (give exact dates)</i> |
|--|---------------------------|--|--|
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| | | | |

5. Set out below details of two persons (who must not be related to the applicant, and neither of whom has any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past 5 years and of whom the Commission may enquire regarding the applicant's character and reputation:

| <i>Name</i> | <i>Address</i> | <i>Occupation</i> |
|-------------|----------------|-------------------|
| | | |
| | | |

6. Does the applicant have an interest in one or more shares in any company, the shares of which are quoted on a securities exchange, the aggregate of the nominal amount of which constitutes not less than 5% of the aggregate of the nominal amount of all issued shares of the company? (Answer "Yes" or "No". If "Yes", give full details of the interest including the names of companies and percentage of interest).
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7. Set out any additional information (including any formal qualifications or training of the applicant and the name of the institution that conducted the course) considered relevant to this application.

8. I declare that all information given in this application and in the attached annexure (if any) is complete and accurate to the best of my knowledge and belief.

Dated this _____ day of _____

Signature _____
(Signed by Applicant)

Dated this _____ day of _____

Signature _____
Justice of the Peace/Attorney-at-Law

NOTE:

(a) This application should be accompanied by a certificate in or to the effect of the following form:

To the Commission:

On the basis of due and diligent enquiry made of the background of the applicant named in this form who is in my direct employment or acting for or on behalf of me, and other information available, I believe the applicant to be of good character and reputation and to have the competence and experience to perform the function of a representative.

Dated this _____ day of _____

Signature _____

Name _____

Capacity _____

(b) The certificate should be signed by each licensee by whom the applicant is to be employed or for or by arrangement with whom the applicant is to act.