

**FORM 2**

reg. 6

**SECURITIES INDUSTRY (REGISTRATION OF  
MARKET PARTICIPANTS) REGULATIONS 2002**

**Application for registration as a securities  
intermediary**

Application is hereby made for registration as a securities intermediary under the Securities Industry Act 1998 and the following statements are made in respect thereof:

Note:

- (1) If space is insufficient to provide details, please attach annexure(s). Any such annexure should be

identified as such and signed by the signatory to this application.

- (2) This application shall be accompanied by a detailed statement of the applicant's assets and liabilities and shall be signed by the applicant.

1. Personal particulars of the applicant

(a) Name of applicant:

(b) Full address, \_\_\_\_\_  
telephone and fax  
number of the  
principal place at  
which the business of  
the applicant is/is to  
be carried on:

(c) Residential address: \_\_\_\_\_

- 2. (a) indicate area of proposed business for which the applicant requires to be registered as a securities intermediary .

(b) For each indicated area of proposed business, state in detail the manner in which the business will be conducted and the experience of the applicant and his management staff in that business.

(c) Describe in detail the organisational structure and internal control procedures which the applicant has adopted or proposes to adopt in the conduct of his business.

3. The type of clients with whom the applicant proposes to do business.

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4. Is the applicant a director of any company in Guyana or elsewhere? (Answer "Yes" or "No".) If "Yes", using an annexure, give details of -

- (a) names of the companies;
- (b) places of incorporation; and
- (c) the relevant interests.

(Answer questions "Yes" or "No" in space provided. If "Yes", attach annexures giving all relevant particulars.)

5. Has the applicant within the past 10 years -  
*Answer*

- (a) been licensed registered or registered in any place under any law which requires licensing or registration in relation to dealing in securities or acting as investment adviser?

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

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- (c) been refused the right or restricted in his right to carry

on any trade, business or profession for which a specific registration, registration or other authority is required by law in any place?

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(d) been a member or partner in a member firm of a securities exchange?

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

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(f) been refused membership of any securities exchange?

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

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(h) been convicted of any offence other than a traffic offence in Guyana or elsewhere or are there any proceedings now pending which may lead to such a conviction? (If "Yes" attach annexure giving full details of the conviction(s) or proceeding(s).)

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(i) had judgement including findings in relation to fraud, misrepresentation or dishonesty been given against him in any civil proceedings, in Guyana or elsewhere? (If "Yes" attach annexure giving full details, including whether judgement is unsatisfied.)

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(j) been censured or disciplined by any professional body, society or association of which he was or is a member? (If "Yes", attach annexure giving full details, including name of the professional body, society or association.)

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(k) been declared bankrupt or compounded with or made an assignment for the benefit of his creditors in Guyana or elsewhere?

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(h) been engaged in the management of any companies other than those referred to in answer to question 6?

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(i) been refused a fidelity or surety bond in Guyana or elsewhere?

**LAWS OF GUYANA**

- \_\_\_\_\_
- (j) been disqualified as a director, or been a director of a company that has gone into receivership or liquidation, in Guyana or elsewhere?
- \_\_\_\_\_

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

	<u>Name and address of principal (if self-employed, so state)</u>	<u>Nature of Business</u>	<u>Description of duties in relation to the employment or activity</u>	<u>Period of employment (give exact dates)</u>
1				
2				
3				
4				

7. Set out below details of two persons (who shall not be related to the applicant, and neither of whom shall have 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 Council may enquire regarding the applicant's character and reputation.

LAWS OF GUYANA

Cap. 73:04

Securities Industry

Page 7

[Subsidiary] Securities Industry (Registration of Market Participants) Regulations

	<u>Name</u>	<u>Address</u>	<u>Occupation</u>
1			
2			

8. Set out any additional information (including any formal qualifications or training and the name of the institution that conducted the course) considered relevant to this application:

9. I declare that all information given in this application and in the attached annexures (if any) are true and correct.

Dated this \_\_\_\_ day of \_\_\_\_\_ 20\_\_

\_\_\_\_\_  
Signature

