

FORM 3

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

reg.8

Application for registration as a representative

Application is hereby made for registration as a representative under the Securities Industry Act 1998 and the following statements are made in respect of the application.

LAWS OF GUYANA

1. (a) Applicant's name	Other names
(b) Residential address	Telephone No.
(c) Date of birth	Place of birth
(d) No. of years applicant has resided in Guyana	Nationality
(e) Occupation for which registration is sought:	
(f) Full name of principal:	
(g) The full address at which the business of the principal is to be carried on:	Telephone No.
(h) Nature of Business of the principal	
(i) Address of place at which Register under regulation 13 will be kept	
(j) Present remuneration arrangement with principal: salary, Council or both	
(k) Directorship in companies in Guyana or elsewhere	

2. (Answer "Yes" or "No" in space provided. If "Yes" attach annexures 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 investment adviser?

- (b) been licensed, 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 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?

- (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 Guyana 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 him in any civil proceedings, in Guyana or elsewhere? (If "Yes", attach annexure giving full details, including whether judgement is unsatisfied)

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

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

3. Has the applicant had any experience in performing the functions of a representative? (Answer "Yes" or "No") If "Yes" attach annexures giving all relevant particulars.
4. 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 or activity (give exact dates)</u>

5. 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:

<u>Name</u>	<u>Address</u>	<u>Occupation</u>

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 5per cent of the aggregate of the nominal amount of all issued shares of the company? (Answer "Yes" or "No". If "Yes", give full details of such interest including names of companies and percentage of interest).

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) are true and correct.

Dated this _____ day of _____ 20__

Signature _____
(Signed by Applicant)

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

To the Council:

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 him or her 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 _____ 20__

Signature _____

Name _____

Capacity _____

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

