SECURITIES AGENT REGISTRATION CHECKLIST

☐ 1. Registration Application Form (Form FCN 2-2-153)
☐ 2. Consent to Service of Process
☐ 3. NASD Form U-4 Status Report (Report from Central Registration Depository)
☐ 4. Copy of current license of appointing Broker-Dealer
☐ 5. Statement of Assets and Liabilities
☐ 6. Tax Clearance Form (Form I-9)
☐ 7. Filing Fee of $50.00 payable to the Treasurer of Guam
☐ 8. For the new applicants—a copy of the Candidate Qualification Score Report having passed the Examination Series 63 (AND Series 6 for Insurance Professionals)

For ISBRE use only:

Applicant Name: ____________________________________________________________

Receipt Number: ___________________________ Payment Amount:____________________

Receipt Date: _____________________________ Registration Number: _______________

Effective Date: ___________________________ Expiration Date: _____________________