



Dipåtamenton Kontribusion yan Adu'ånå

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guåhan

SECURITIES BROKER-DEALER REGISTRATION CHECKLIST

- [] 1. Registration Application Form (Form FCN 2-2-154)
- [] 2. Consent to Service of Process
- [] 3. Focus Report or Audited Financial Statement
- [] 4. Form BD and all schedules of Form BD
- [] 5. Tax Clearance Form (Form I-9)
- [] 6. Application Fee of \$200.00 payable to the Treasurer of Guam
- [] 7. Certificate of Authority (registration of the company as a foreign entity in Guam is required for new applicant and is not required for renewal.)
- [] 8. If applicant is an individual, present proof of having passed Examination Series 63 and 7.

For ISBRE use only:

Applicant Name: _____

Receipt Number: _____ Payment Amount: _____

Receipt Date: _____ Registration Number: _____

Effective Date: _____ Expiration Date: _____