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: ______________________

Post Office Box 23607, Guam Main Facility, Guam 96921 • Tel. / Telifon: (671) 635-1817 • Fax / Faks: (671) 633-2643