

SECURITIES BROKER-DEALER REGISTRATION CHECKLIST

1. Registration Application (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 Clearances
6. Application fee of \$200.00. Please make check payable to 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. Department of Revenue and Taxation Forms are available at the website:

www.guamtax.com with the link:

http://www.govguamdocs.com/revtax/index_revtax.htm

INSURANCE, SECURITIES, BANKING
& REAL ESTATE BRANCH
Dept. of Revenue & Taxation
Government of Guam
Agana, Guam 96910

APPLICATION FOR REGISTRATION AS BROKER-DEALER OF SECURITIES
(Filing Fee \$200.)

The undersigned, an applicant for registration as a broker-dealer of securities, submits the following information to the Administrator of Securities as required by Section 45202, Uniform Securities Act of Guam.

1. Name, residence address, and business address of the applicant.
2. Name under which business is conducted.
3. Check one only. Type of Firm: () Corporation () Partnership () Sole Proprietorship () Other
4. Names, residence and business addresses of all persons interested in the business as principals, partners, officers or directors, giving the title of each.
5. The general plan and character of business.
6. Length of time engaged in securities business as a broker-dealer.
7. States in which applicant is registered as a broker-dealer.
8. Stock or bond exchange, if any, of which applicant is a member.
9. Has an application for registration as an investment adviser or agent or broker-dealer ever been refused, revoked, suspended in any State or Territory or by the Securities and Exchange Commission? If so, attach a complete statement of facts in respect thereto.
10. Has any person interested in the business as principal, partner, officer or director ever been convicted of a violation of a criminal statute? If so, attach a complete statement of facts in respect thereto.

