SECURITIES INVESTMENT ADVISER REGISTRATION CHECKLIST

☐ 1. Registration Application Form (Form FCN 2-2-155)
☐ 2. Consent to Service of Process
☐ 3. Audited Financial Statement
☐ 4. Form ADV and all schedules of Form ADV
☐ 5. Copy of current license of Broker-Dealer (if appointed)
☐ 6. Tax Clearance Form (Form I-9)
☐ 7. Application Fee of $200.00 payable to the Treasurer of Guam
☐ 8. Certificate of Authority (registration of the company as a foreign entity in Guam is required for new applicant and is not required for renewal.)
☐ 9. If applicant is an individual, present proof of having passed Examination Series 65.

For ISBRE use only:

Applicant Name: ________________________________

Receipt Number: ____________________________  Payment Amount: ______________________

Receipt Date: ________________________________  Registration Number: __________________

Effective Date: ________________________________  Expiration Date: ______________________