

**GUAM DEPARTMENT OF REVENUE AND TAXATION  
INSURANCE, SECURITIES, BANKING AND REAL ESTATE BRANCH**

**APPLICATION FOR REGISTRATION  
INVESTMENT ADVISER**

Filing Fee: \$200

Form FCN 2-2-155

The undersigned, an applicant for registration as an Investment Adviser of Securities, submits the following information to the Administrator of Securities as required by §46203, Uniform Securities Act of Guam

1. Name and residential address of applicant	1. (a) Place and Date of Birth
2. Business name and address	2. (a) Email Address
3. Type of Firm: <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Other	
4. The general plan and character of business	

**EDUCATION**

5. Name and Location of High School Attended			5. (a) Date of Graduation	
6. Name and Location of College or University	Dates Attended		Date Degree Conferred	Major Field or Remarks
	From	To		

**EMPLOYMENT HISTORY**

7. Business experience during the ten (10) years prior to this application				
Name and Address of Employer	Job Title	Nature of Industry	Date of Employment	
			From	To

**REFERENCES**

8. Name and address of three (3) references as to the character and reputation of the applicant, excluding relatives		
Name	Address	Occupation

YES	NO	
		9. Has the applicant misappropriated or converted monies of others for his/her own use, or has been accused of so doing? If yes, attach a complete statement of facts in respect thereto.
		10. Has applicant been registered as an Investment Adviser or an Agent or Broker-Dealer in Securities prior to this application? If yes, attached a complete statement of facts in respect thereto.
		11. Has applicant been denied registration as an Investment Adviser or Agent or Broker-Dealer in Securities, or had registration as such suspended or revoked prior to this application by any state, territorial government, or Securities Exchange Commission? If yes, attach a complete statement of facts in respect thereto.
		12. Has applicant ever been convicted of a violation of a criminal statute? If yes, attach a complete statement of facts in respect thereto.

13. There shall be filed an irrevocable written consent to service of process on the Administrator of Securities as provided by §46414 (g), Chapter 46, Title 22, Government Code of Guam. \_\_\_\_\_ (Initial)

14. Current financial statement must be attached to this application. \_\_\_\_\_(Initial)

\_\_\_\_\_ being first duly sworn on oath, deposes and says that he/she is the applicant names in the foregoing information statement, that he has read the statement and all documents attached thereto, that the information contained in the statement and documents is true to the best of his/her knowledge and belief.

\_\_\_\_\_  
Applicant

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
Notary Public  
My Commission expires: \_\_\_\_\_