



Dipáttamenton Kontribusion yan Adu'ána

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guåhan

FELIX P. CAMACHO, Governor Maga'láhi
MICHAEL W. CRUZ, M.D., Lt. Governor Tíñente Gubetnadot

ARTEMIO B. ILAGAN, Director
Direktot
JOHN P. CAMACHO, Deputy Director
Segundo Direktot

SECURITIES INVESTMENT ADVISER REGISTRATION CHECKLIST

1. REGISTRATION APPLICATION FORM (typewritten) (FCN 2-2-155)
2. CONSENT TO SERVICE OF PROCESS
3. FOCUS REPORT or AUDITED FINANCIAL STATEMENT
4. FORM ADV and ALL SCHEDULES OF FORM ADV
5. TAX CLEARANCE
6. FILING FEE OF \$200.00 payable to TREASURER OF GUAM
7. FOR NEW APPLICANTS- EXAM SERIES #65

ISBRE USE ONLY:

Receipt # _____ Amount \$ _____ Receipt Date _____

REGISTRATION NUMBER: _____

EFFECTIVE DATE: _____

EXPIRATION DATE: _____

DIVISION OF LICENSES AND REGISTRATION
Department of Finance
Government of Guam
Agana, Guam

APPLICATION FOR REGISTRATION AS INVESTMENT ADVISER OF SECURITIES
(Filing Fee \$200.)

The undersigned, an applicant for registration as an investment adviser 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. The general plan and character of business.

5. Place and date of birth; length of residence in the Territory of Guam.

6. Educational history, showing name of schools with dates of attendance, and major subject.

7. Business experience during the ten years prior to this application, showing name and address of employers, position held, nature of occupation, and dates.

8. Name and address of three references as to the character and reputation of the applicant, excluding relatives.

9. Attach a complete statement of facts relative to the qualifications and business history of all employees. Separate sheet must be prepared for each employee.

10. If the applicant during the ten years prior to this application has misappropriated or converted moneys of others for his own use, or has been accused of so doing, attach a complete statement of facts in respect thereto.

11. If applicant has been registered as an investment adviser or an agent of or broker-dealer in securities prior to this application, attach a complete statement of facts in respect thereto.

