

## SECURITIES INVESTMENT ADVISER REGISTRATION CHECKLIST

1. Registration Application (FCN 2-2-155)
2. Consent to Service of Process
3. Audited Financial Statement
4. Form ADV and all Schedules of Form ADV
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. If applicant is an individual present proof of having passed Examination Series 65).
8. Department of Revenue and Taxation Forms are available at the website:

[www.guamtax.com](http://www.guamtax.com) with the link:

[http://www.govguamdocs.com/revtax/index\\_revtax.htm](http://www.govguamdocs.com/revtax/index_revtax.htm)

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.
  
12. If applicant has been denied registration as an investment adviser or an agent or broker-dealer in securities, or has had registration as such suspended or revoked prior to this application by any state or territorial government, attach a complete statement of facts in respect thereto.

13. If applicant has been convicted of a violation of a criminal statute, attach a complete statement of facts in respect thereto.
  
14. There shall be filed an irrevocable written consent to service of process on the Administrator of Securities as provided by Section 45414 (g), Chapter 4, Title 41, Government Code of Guam.
  
15. Current Financial Statement must be attached to this application.

Territory of Guam )  
 ) SS  
 Agana, Guam )

..... being first duly sworn on oath deposes and says that he is the applicant named 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 knowledge and belief.

.....  
 (Applicant)

Subscribed and sworn to before me this ..... day of ....., 19.....

.....  
 Notary Public in and for the  
 Territory of Guam.  
 My Commission expires: .....