



Dipáttamenton Kontribusion yan Adu'ána

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guáhan

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

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

SECURITIES AGENT LICENSING REQUIREMENTS CHECKLIST

1. REGISTRATION APPLICATION FORM (typewritten) (FCN 2-2-153)
2. CONSENT TO SERVICE OF PROCESS
3. NASD Form U-4 STATUS REPORT-(Report from Central Registration Depository)
4. STATEMENT OF ASSETS AND LIABILITIES
5. TAX CLEARANCE
6. FILING FEE OF \$50.00 payable to TREASURER OF GUAM
7. FOR NEW APPLICANTS – COPY OF CANDIDATE QUALIFICATION SCORE REPORT

ISBRE USE ONLY:

Receipt # _____ Amount \$ _____ Receipt Date _____

REGISTRATION NUMBER: _____

EFFECTIVE DATE: _____

EXPIRATION DATE: _____

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

APPLICATION FOR REGISTRATION AS AGENT OF SECURITIES
(Filing Fee \$50.00)

The undersigned, an applicant for registration as an agent 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. Place and date of birth; length of residence in the Territory of Guam.

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

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

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

8. 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.

9. Name and business address of dealer or issuer in securities appointing applicant.

10. 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.

11. 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.

