



Dipåtamenton Kontribusion yan Adu'aña

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guåhan

EDDIE BAZA CALVO, Governor Maga'låhi
RAY TENORIO, Lt. Governor Tiñente Gubetnadot

JOHN P. CAMACHO, Director
Direktot
MARIE M. BENITO, Deputy Director
Segundo Direktot

Securities Agent Registration Checklist

(All Forms Must Be Typewritten)

- 1. Registration Application Form *(Form 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 Application Form *(Form I-9)*
- 6. Filing Fee of \$50.00, payable to the Treasurer of Guam
- 7. For new applicants – a copy of the Candidate Qualification Score Report

FOR ISBREB USE ONLY:

Applicant Name: _____

Receipt Number: _____ Payment 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.

- 12. If applicant has been convicted of a violation of a criminal statute, attach a complete statement of facts in respect thereto.
- 13. If applicant has never been registered as an investment adviser or an agent or broker-dealer in securities, state extent of knowledge of the business of selling securities, and what instruction and training is expected from the dealer named in Question 9 above.
- 14. As required by Section 45201 (b), Chapter 2, Title 41, Government Code of Guam, I shall notify the Administrator of Securities, Division of Licenses and Registration, Department of Finance, Agana, Guam upon my termination of employment by my principal.
- 15. 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.
- 16. Current Financial Statement must be attached to this Application.

Territory of Guam)
) SS
City of Agana)

..... 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 the documents is true to the best of his knowledge and belief.

.....
(Applicant)

Subscribed and sworn to before me this day of, 196.....

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

APPOINTMENT OF AGENT OF SECURITIES

I have read the foregoing information statement and believe the information contained therein to be true and complete and have no knowledge to the contrary.

I hereby appoint of
as agent of securities and agree to notify the Administrator of Securities, Division of Licenses and Registration, Department of Finance, Agana, Guam, immediately upon the termination of his employment, as required by Section 45201 (b), Chapter 2, Title 41, Government Code of Guam.

.....
(Broker-Dealer)

By:
(Person Authorized to Sign)