



Dipåtamenton Kontribusion yan Adu'aña

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guåhan

SECURITIES AGENT REGISTRATION CHECKLIST

- [] 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. Copy of current license of appointing Broker-Dealer
- [] 5. Statement of Assets and Liabilities
- [] 6. Tax Clearance Form (Form I-9)
- [] 7. Filing Fee of \$50.00 payable to the Treasurer of Guam
- [] 8. For the new applicants—a copy of the Candidate Qualification Score Report having passed the Examination Series 63 (AND Series 6 for Insurance Professionals)

For ISBRE use only:

Applicant Name: _____

Receipt Number: _____ Payment Amount: _____

Receipt Date: _____ Registration Number: _____

Effective Date: _____ Expiration Date: _____