

**GUAM DEPARTMENT OF REVENUE AND TAXATION
INSURANCE, SECURITIES, BANKING, REAL ESTATE BRANCH**

**APPLICATION FOR REGISTRATION
AGENT OF SECURITIES**

Filing Fee: \$50

Form FCN 2-2-153

The undersigned, an applicant for registration as an agent of securities, submits the following information to the Administrator of Securities as required by §46203, Uniform Securities Act of Guam

1. Name (First Name, Middle Initial, Last Name)	1.(a) Date & Place of Birth
---	-----------------------------

2. Residential Address

3. Mailing Address	3. (a) Email Address
--------------------	----------------------

4. Name of Dealer or Issuer in securities appointing applicant

5. Business address of dealer or issuer in securities appointing applicant

6. Type of Firm Corporation Partnership Sole Proprietorship Other

EDUCATION

7. Name and Location of High School Attended	7.(a) Date of Graduation
--	--------------------------

8. Name and Location of College or University	Dates Attended		Date Degree Conferred	Major Field and Remarks
	From	To		

EMPLOYMENT HISTORY

9. Business experience during the ten (10) years prior to this application, showing name and address of employers, position held, nature of occupation, and dates

Name and Address of Employer	Job Title	Nature of Industry	Date of Employment	
			From	To

REFERENCES

10. Name and address of three (3) references as to the character and reputation of the applicant, excluding relatives

Name	Occupation	Address

Yes	No	
		11. Has applicant been registered as an investment adviser or an agent of or broker dealer in securities prior to this application? If so, attach a complete statement of facts in respect thereto.
		12. Has applicant been denied registration as an investment adviser or an agent or broker dealer in securities, or has had registration suspended or revoked prior to this application by any state or territorial government? If so, attach a complete statement of facts in respect thereto.
		13. Has applicant ever been convicted of a violation of a criminal statute? If so, attach a statement of facts in respect thereto.
		14. Has applicant, during the ten (10) years prior to this application, misappropriated or converted moneys of others for his own use, or has been accused of so doing? If so, attach a complete statement of facts in respect thereto.

15. As required by §46201 (b), Chapter 46, Title 22, 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. _____ (Initial)

16. There shall be filed an irrevocable written consent to service of process on the Administrator of Securities as provided by §46414 (g), Chapter 46, Title 22, Government Code of Guam. _____ (Initial)

17. Current financial statement must be attached to this application. _____ (Initial)

_____ being first duly sworn, on oath deposes and says that he/she is the applicant named in the foregoing information statement, that he/she 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/her knowledge and belief.

Applicant

Subscribed and sworn before me this _____ day of _____, _____.
County of _____, State of _____

Notary Public

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 appointment, as required by §46201 (b), Chapter 46, Title 22, Government Code of Guam.

By: _____

Name and Title of Principal (Please Print)

Signature of Principal