



Dipåtamenton Kontribusion yan Adu'ånå

DEPARTMENT OF

REVENUE AND TAXATION

GOVERNMENT OF GUAM

Gubetnamenton Guåhan

SECURITIES INVESTMENT ADVISER REGISTRATION CHECKLIST

- [] 1. Registration Application Form (Form FCN 2-2-155)
- [] 2. Consent to Service of Process
- [] 3. Audited Financial Statement
- [] 4. Form ADV and all schedules of Form ADV
- [] 5. Copy of current license of Broker-Dealer (if appointed)
- [] 6. Tax Clearance Form (Form I-9)
- [] 7. Application Fee of \$200.00 payable to the Treasurer of Guam
- [] 8. Certificate of Authority (registration of the company as a foreign entity in Guam is required for new applicant and is not required for renewal.)
- [] 9. If applicant is an individual, present proof of having passed Examination Series 65.)

For ISBRE use only:

Applicant Name: _____

Receipt Number: _____ Payment Amount: _____

Receipt Date: _____ Registration Number: _____

Effective Date: _____ Expiration Date: _____