

Forms

**FORM NO. 1**

(Regulation 9)

**APPLICATION FOR REGISTRATION AS A  
SELF-REGULATORY ORGANISATION**

*(Pursuant to section 29(2) of the Securities Act, 2001)*

1. Name of Applicant *(state exact name as specified in constituent document)*  
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2. Country of Incorporation or Organisation of Applicant  
.....
3. If incorporated in a country other than Barbados, is the Applicant registered in Barbados?  
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4. Type of Business Applicant proposes to carry on  
.....
5. Does the Applicant have Rules for the governance of its Members? *(The Rules of the Applicant must accompany this Application)*  
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.....
6. Has the Applicant or a Director or Officer of the Applicant ever been refused registration by the Barbados Securities Commission?  
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7. Name and Address of Principal Executive Officer of the Applicant  
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8. Name and Addresses of Members of Board of Directors of Applicant  
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**FORM NO. 1 - Cont'd**

9. Address and Telephone Number(s) of Applicant's Principal Place of Business

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Yours faithfully

Signed .....

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Dated .....