

CHECKLIST FOR LICENSING AS A STOCKBROKER OR BOND BROKER

In order to be licensed as a stockbroker on the Trinidad and Tobago Stock Exchange (TTSE), an applicant must meet the requirements stipulated in TTSE Rule 100. The Stockbroker licence is valid for a period of three (3) years or until the applicant's employment at the member firm is terminated. The annual licence fee is \$3,000.00 and is payable on January 1st of each year.

The following outlines the application process for a Stockbroker licence:

1. Register as a Broker with the T&T Securities and Exchange Commission (TTSEC)
2. Attend training sessions on the Exchange's electronic trading system
3. Submit required documents and annual licence fee

Required Documents:

- Appendix IV - Form of Application for Licensing as a Stockbroker completed by the applicant. Stockbroker applications should be signed by two sponsoring Directors of the Stock Exchange. Bond broker applications should be signed by two Directors of the company making the application.
- Schedule 8 – Declaration to be completed by the applicant
- Applicant's résumé
- A copy of the Broker registration letter from the TTSEC
- The annual licence fee of \$3,000.00