

**TRINIDAD & TOBAGO STOCK EXCHANGE LIMITED  
APPENDIX VI**

**FORM OF APPLICATION FOR AN AUTHORISED DEALER (RULE 501)**

TO THE BOARD OF THE TRINIDAD AND TOBAGO STOCK EXCHANGE LIMITED

We \_\_\_\_\_ Limited

request permission for Mr./Mrs./Miss \_\_\_\_\_

aged \_\_\_\_\_ to act as an Authorised Dealer of this Company commencing \_\_\_\_\_

20 \_\_\_\_\_

We attach the career record of the Candidate since leaving school.

We certify that-

1. We have full knowledge of the Candidate's previous career and have obtained a satisfactory reference from his last employer. We are aware of the Candidate's declaration under Schedule 8.
2. The candidate is in the bona fide full time employment of ourselves.
3. We hold ourselves responsible to the Board for the conduct of his business and for his behaviour in all matters affecting the Stock Exchange or its Members.
4. We undertake to inform you at once if the Authorised Dealer is withdrawn or ceases to be employed by us.
5. The Candidate will abide by and conform to the Articles, Regulations, Rules, Administrative Procedures and Usage of the Stock Exchange, and any directions given by the Board.

We are aware that Employers are held responsible for the Stock Exchange business transacted by authorised dealers.

Yours faithfully,

Print Name \_\_\_\_\_ Signed \_\_\_\_\_

Position \_\_\_\_\_ Dated \_\_\_\_\_ of \_\_\_\_\_ 20 \_\_\_\_\_

The Authorised Dealer to sign the following:

I understand and agree to the above. I append a declaration in conformity with Schedule 8 of the Listing Agreement.

Signed \_\_\_\_\_

Dated \_\_\_\_\_ of \_\_\_\_\_ 20 \_\_\_\_\_