

**APPENDIX IV**

**FORM OF APPLICATION FOR LICENSING AS A STOCKBROKER**

TO THE BOARD OF THE TRINIDAD AND TOBAGO STOCK EXCHANGE LIMITED

I wish to be licenced as a Stockbroker of the Trinidad and Tobago Stock Exchange Limited upon the terms of, and under and subject in all respects to the Securities Industry Act, 2012 and By Laws, Regulations and Rules of the Stock Exchange which now are, or hereafter may be for the time being in force.

I am aware of By Laws, Regulations and Rules of the Trinidad and Tobago Stock Exchange Limited and of the obligation imposed on Stockbrokers upon their registration.

I attached a statement evidencing that, to the best of my knowledge and belief my professional and business connections and shareholdings are not such that they would in any way adversely affect the conduct of my stockbroking business, and also evidence that this application conforms to the requirements of the Securities Exchange Commissions and the Exchange.

I enclose a declaration form in accordance with Schedule 8 of the Listing Requirements.

Yours faithfully,

Date .....20.....

Signature

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**STATEMENT BY SPONSORING DIRECTORS OF THE STOCK EXCHANGE**

We recommend Mr./Mrs./Miss ..... as a fit and proper person to be registered as a stockbroker or the Trinidad and Tobago Stock Exchange Limited. We have read the candidate's application and are aware of the contents of the candidate's declaration under schedule 8 of the listing requirements. We are satisfied that to best of our knowledge and belief the statements made in respect of his/her application are correct.

Name of the Proposer .....

Signature of the Proposer .....

Dated .....

Name of Seconder .....

Signature of Seconder .....

Dated .....