

**CHECKLIST FOR PROPOSED REGISTRATION
AS BROKER-DEALER OF SECURITIES**

- ☐ Application for Authority to Transact Business as Broker-Dealer of Securities
- ☐ Copy of Articles of Incorporation or Certificate of Incorporation from state of domicile or Partnership Agreement,
- ☐ Copy of latest statement of financial condition of corporation or partnership;
- ☐ Resume of the Manager or Local Resident Agent for the proposed Securities business;
- ☐ Proof of registration with the CNMI Registrar of Corporations or Securities Exchange Commission
- ☐ Copy of Company and Agent agreement
- ☐ Securities to be offered (submit prospectus)