

## **CHECKLIST FOR LICENSING AS A TRADER**

In order to be licensed as a trader on the Trinidad and Tobago Stock Exchange (TTSE), an applicant must meet the requirements stipulated in TTSE Rule 501. The Trader licence is valid until the applicant's employment at the member firm is terminated. The annual licence fee is \$1,000.00 and is payable on January 1<sup>st</sup> of each year.

The following outlines the application process for licensing as a trader on the Exchange:

1. Register as a Trader 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 VI – Form of Application for Licensing as an Authorised Dealer completed by the Trader and the Member Firm employing the Trader.
- Schedule 8 – Declaration to be completed by the applicant
- Applicant's résumé
- A copy of the Trader registration letter from the TTSEC
- The annual licence fee of \$1,000.00