

## APPLICATION PROCESS FOR ENTITIES

(1) An Entity wishing to become an Approved Mentor is required to submit a letter to the TTSE indicating its interest.

(2) The letter shall be accompanied by the supporting documents set out at items (3) and (4) below in order for the application to be considered.

(3) The letter to the TTSE along with supporting documents below shall be addressed to the Chief Executive Officer of the TTSE which shall include, but is not limited to:

- (i) Evidence of the most recent Annual Returns of the Entity;
- (ii) Evidence of the Incorporation/Articles of Incorporation or other registration documents of the Entity;
- (iii) Evidence of the appointment of an independent auditor, who is a member in good standing with ICATT or its equivalent in a Designated Foreign Jurisdiction and meets any other requirements as may be prescribed by the SEC, to carry out the audit of its financial statements;
- (iv) A letter from a banking institution indicating that the Entity is in good financial standing;
- (v) A VAT Clearance Certificate; and
- (vi) Delivery of such other documentation or information as the Exchange may deem necessary from time to time in order to properly consider any Application.

(4) Note: In addition to (3) above, an Entity desirous of becoming an Appointed Mentor shall appoint a Senior Officer as an Appointed Mentor within the Entity who shall also submit the following documents to the TTSE for approval:

- (i) A Letter requesting to be an Approved Mentor;
- (ii) A certified copy of a Certificate of Character issued by the Trinidad and Tobago Police Service or designated foreign jurisdiction. This should be within six (6) months of the issue date;
- (iii) Applicant's Curriculum Vitae setting out work history, education, and skills;
- (iv) Completed Fit and Proper questionnaire and/or Letter of No Objection issued by any local or foreign regulator or assessed and approved as Fit and Proper in accordance with the TTSE's Fit and Proper Questionnaire;
- (v) Two (2) copies of a valid photo identification document certified by a Commissioner of Affidavit or Notary Public issued by the

- government of Trinidad and Tobago or designated foreign jurisdiction;
- (vi) Documents indicating that he or she is in good financial standing which, shall include at a minimum:
- (a) A letter from a local or foreign Entity charged with the responsibility of advising that there is no record, notice or proceeding that has been lodged against the Applicant as an undischarged bankrupt;
  - (b) A letter from a banking institution indicating that the Applicant is in good financial standing; and
  - (c) Tax clearance certificates indicating that the Applicant is in compliance with government tax requirements.

### **POST APPLICATION PROCESS**

(5) Upon receiving the documents required by (3) and (4) above, the following steps shall be taken by the TTSE:

- (i) The TTSE shall acknowledge receipt of the application and accompanying documents within seven(7) business days of receiving the said application;
- (ii) TTSE Management shall review the completed application and make a recommendation to the TTSE Board or persons delegated by the TTSE Board to consider such applications within thirty days (30) business days of receiving the application;
- (iii) The Applicant shall be informed of the TTSE's decision within seven (7) business days of said decision being made; and
- (iv) In the event that an Applicant has not been approved by the TTSE, the Applicant may reapply to the TTSE after a period of six (6) months has lapsed from the date of his or her initial application or a new Applicant may apply to the TTSE by satisfying the minimum requirements in accordance with TTSE Rule 700(2) (vi) and also complying with the requirements outlined above.