

## APPENDIX IV

### FORM OF APPLICATION FOR LICENSING AS A STOCK BROKER

TO THE BOARD OF THE TRINIDAD AND TOBAGO STOCK EXCHANGE LIMITED

I wish to be licenced as a Stock broker of the Trinidad and Tobago Stock Exchange Limited upon the terms of, and under and subject in all respects to the Securities 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 Stock brokers upon their registration.

I attach 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 stock broking business, and also evidence that this application conforms to the requirements of the Securities Exchange Commission 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 stock broker of 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 the best of our knowledge and belief the statements made in respect of his/her application are correct.

Signature of the Proposer ..... Dated .....

Signature of Seconder..... Dated.....