



SECURITIES COMMISSION OF THE BAHAMAS

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SECURITIES INDUSTRY REGULATIONS 2012

SCHEDULE 2

(Regulation 48)

FORM 12

Notice of Termination, Resignation or Retirement of Registered

Individual by Registered Firm

Item 1 - Name and Address of Registered Firm

State full legal name of the registered firm giving notice. Provide principal business address, email address(es), telephone numbers and fax numbers.

Name: _____

Address: _____

Email: _____

Phone: _____

Fax: _____

Item 2 – Name of Terminated, Resigned or Retired Individual

Provide full details on the relevant individual —

- full name, address, telephone number, date of birth;
- registration information, e.g. licence number, date, category, status.

Name: _____

Address: _____

Phone: _____

Date of Birth: _____

Licence Number: _____ Date: _____

Category: _____ Status: _____

Item 3 – Effective Date of Termination, Resignation or Retirement

Provide relevant effective date.

Date: _____

Item 4 – Summary of Circumstances

Provide a brief summary of the reasons for the registered individual leaving the employment of the firm.

Item 5 – Senior Officer

Give the name, business telephone number and email address of a senior official of the registered person who is knowledgeable about the notice, and who may be contacted to discuss it.

Name: _____

Phone: _____

Email: _____

Item 6 – Effect of Termination

Include the following statement on the notice —

"The termination of employment of a registered individual results in the immediate suspension of that person's registration, until such time as notice of reinstatement of registration has been given by the Commission."

Item 7 – Date the Report

Date

Item 8 – Certification and Signature

ATTESTATION:

"I, the undersigned, hereby affirm that to the best of my information, knowledge and belief, the contents of this form and any attachments provided with this form are true, correct and not misleading."

Senior Officer

WARNING: Intentional misstatement or failure to disclose information may constitute an offence.

Completed applications should be submitted to:

The Market Surveillance Department
Securities Commission of The Bahamas

Note: A copy of the completed Form is to be provided to the Commission and to the terminated employee.