



SECURITIES COMMISSION OF THE BAHAMAS

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SECURITIES INDUSTRY REGULATIONS 2012

SCHEDULE 2 (Regulation 34 & 46)

FORM 6

Notice of Proposed issue or Transfer of Securities of a

Person Registered under Part V of the Act or Registered Firm

Item 1 - Name of Registered Person

State full legal name of the person registered under the Act.

Name: _____

Item 2 - Full Business Contact Details of Registered Person

State the person's principal business address and provide email address (es), telephone numbers and fax numbers.

Address: _____

Email: _____

Phone: _____

Fax: _____

Item 3 - Category of Registration

State the person's category or categories of registration under the Act.

- Dealing in Securities
- Managing Securities
- Arranging Deals in Securities
- Advising on Securities

Item 4 - **Details of Changes Giving Rise to Notice**

Provide details of the proposed issue or transfer of securities of the registered person, including number of securities to be issued or transferred, the names of the selling security holder(s) and acquiring security holder(s), the percentage holdings of each person before and after the proposed transaction and the date of the proposed transaction.

Provide a completed Form 4 for each acquiring person.

Item 5 - **Contact Person at Registered Person**

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: _____

Business Telephone: _____

Email: _____

Item 6 – Date the Form

Date

Item 7- 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