

**CHECKLIST FOR PROPOSED REGISTRATION AS
INVESTMENT ADVISER OR INVESTMENT AGENT OF SECURITIES**

- ☐ Application for Authority to Transact Business as an Investment Adviser or Agent
- ☐ Copy of Articles of Incorporation or Certificate of Incorporation from state of domicile or Partnership Agreement
- ☐ Copy of latest statement of financial condition of corporation or partnership; or personal financial statements of the proprietor
- ☐ Resume of the Manager or Local Resident Agent for the proposed investment business
- ☐ Proof of registration with the CNMI Registrar of Corporations, Securities Exchange Commission or Financial Industry Regulatory Authority (FINRA)
- ☐ Copy of Company and Agent agreement