

EASTERN CARIBBEAN SECURITIES REGULATORY COMMISSION



FORM 5

**NOTICE OF INTEREST IN SECURITIES PURSUANT TO SECTION 87 OF
THE SECURITIES ACT 2001**

Notice is hereby given that _____ (broker dealer/broker dealer's
principal/broker dealer's representative/limited service broker/limited service broker's
principal/limited service broker's representative/investment adviser/investment adviser's
principal/investment adviser's representative/ financial journalist) of

_____ full business address
_____ has an interest¹ in the securities described hereinafter.

Security Name	Security Type	Holdings (Units)

Name:

Designation:

when signing on behalf of a company

Signature:

Dated:

* To be completed and submitted with each licensee's application for licence

¹ Refer to Section 91 of the Securities Act, 2001 for the definition of interest in securities.