

COMMONWEALTH OF DOMINICA

STATUTORY RULES AND ORDERS No. 34 of 2015

RULES

MADE by the Commission under section 161 of the Securities Act, 2001 (No. 21 of 2001).

(Gazetted 14th December , 2015.)

1. These Rules may be cited as the –

Short title.

**SECURITIES (REGISTRATION STATEMENT)
RULES, 2015.**

2. In these Rules -

Interpretation.

“Act” means the Securities Act 2001;

No. 21 of 2001.

“issuer” in relation to any securities, means the person by whom they have been or are to be issued;

“offeror” means the person selling previously issued securities;

“reporting issuer” means a reporting issuer referred to in section 97 of the Act.

3. A reporting issuer that is incorporated after the commencement of the Act shall register with the Commission within ninety days of the date of its incorporation.

Reporting Issuers incorporated after the commencement of the Act.

4. (1) A reporting issuer shall submit a registration statement in Form RS – 1 set out in Schedule 1.

Submission of registration statement.