



**COMMONWEALTH OF PUERTO RICO  
 COMMISSIONER OF FINANCIAL INSTITUTIONS  
 INVESTMENT ADVISER / BROKER - DEALER  
 DUAL REGISTRATION CONSENT**

I, \_\_\_\_\_, a registered representative of \_\_\_\_\_, request written consent to act as a registered investment adviser.

- I am currently
- I am in the process of registration

Such registration is in the name of \_\_\_\_\_  
 Corporation, Partnership or Sole or Proprietor

I understand that I must submit the following documents to \_\_\_\_\_  
 Investment Advisor

- Copy of current Form ADV
- Copy of most recently filed Form ADV-s (renewal form)
- Copy of Advisory Agreement, Disclosure Statement and other related documents
- Sales Brochures, If any
- Proof of SEC and State registrations (copy of approval letter of certificate)

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Registered Representative (print name)

\_\_\_\_\_ does hereby consent to the dual registration of the above  
 Investment Advisor  
 signed registered representative as both an investment adviser and a registered representative.

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Investment Advisor

\_\_\_\_\_  
 Print name and title