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| <p>FINANCIAL ADVISERS ACT (Cap. 110)</p> <p>FINANCIAL ADVISERS REGULATIONS (Rg 2)</p> <p>APPLICATION FOR A REPRESENTATIVE'S LICENCE UNDER SECTION 8(1)</p> |
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| <p>FORM</p> <p>6</p> |
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Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the application form.
2. All questions must be answered. If a question is not applicable, please mark "N.A." in the space provided. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatory to this application.
3. Where there is an asterisk (*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. If there are any changes in the information furnished in the application prior to the issuance of the licence, the Monetary Authority of Singapore ("the Authority") should be notified immediately.
6. This application should be accompanied by the following:
 - (a) a notice of place at which the applicant's register of interests in securities will be kept in Form 13; and
 - (b) a Singapore dollar cheque or Singapore dollar bank draft, made payable to "Monetary Authority of Singapore" for payment of the non-refundable application fee prescribed under regulation 6 of the Financial Advisers Regulations (Rg 2), unless the principal has a GIRO arrangement with the Authority for the payment of licence/application fees under the FAA.
7. This application form is to be submitted together with a certificate in the manner set out in Part IX of this form duly signed by a director or the secretary of the principal. For the purposes of this form, unless the context otherwise requires, principal means the financial adviser which is supporting the representative's application.
8. Licence fees should not be enclosed with this application. The Authority will advise on the payment of licence fees at a later date.

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| FOR OFFICIAL USE ONLY |
| <p>Application received on:</p> <p>Remarks:</p> <p>Cheque No.:</p> |

I. APPLICATION IS HEREBY MADE FOR A REPRESENTATIVE'S LICENCE BY

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(Full name of applicant, including any alias and other names. Underline family name.)

TO BE EMPLOYED BY OR TO ACT FOR OR ON BEHALF OF

(Full name of principal)

1. Indicate the type(s) of financial advisory service which the applicant proposes to provide:

- Advising others, either directly or through publications or writings, and whether in electronic, print or other form, concerning the following investment product(s), other than advising others by issuing or promulgating research analyses or research reports or advising on corporate finance within the meaning of the Securities and Futures Act (Cap. 289) –
 - Securities (other than collective investment schemes)
 - Collective investment schemes
 - Futures contracts
 - Contracts or arrangements for the purposes of foreign exchange trading
 - Contracts or arrangements for the purposes of leveraged foreign exchange trading
 - Life policies
 - Structured deposits
- Advising others by issuing or promulgating research analyses or research reports, whether in electronic, print or other form, concerning the following investment product(s) –
 - Securities (other than collective investment schemes)
 - Collective investment schemes
 - Futures contracts
 - Contracts or arrangements for the purposes of foreign exchange trading
 - Contracts or arrangements for the purposes of leveraged foreign exchange trading
 - Life policies
 - Structured deposits
- Marketing of any collective investment scheme
- Arranging of any contract of insurance in respect of life policies, other than a contract of reinsurance

2. State in detail the designation and job description of the applicant for which a representative's licence is required.

3. Highlight areas of potential conflict of interest and explain how such conflict will be resolved or mitigated.
4. Nature of appointment with the principal.
- Employee
- Self-Employed

II. PERSONAL PARTICULARS

1. Set out below the personal particulars of the applicant.

| | | | |
|-----|---|--|---------------------------------|
| (a) | Residential Address | | |
| (b) | Telephone No. | Home: | Office: |
| (c) | E-mail Address | | |
| (d) | Date of Birth (dd/mm/yy) | | |
| (e) | Place of Birth | | |
| (f) | Sex | <input type="checkbox"/> Male | <input type="checkbox"/> Female |
| (g) | Nationality (for non-Singapore citizen, state whether you are a Singapore permanent resident) | | |
| (h) | Identity Card No. | | |
| (i) | Passport No. (for non-Singapore citizen) | | |
| (j) | Unique Identification No. (for Singapore permanent resident) | | |
| (k) | For applicant who is not a Singapore citizen or permanent resident, has the applicant obtained an Employment Pass (EP)? | <input type="checkbox"/> Yes Immigration Ref. No.: _____ Date of grant of EP: _____ Expiry date of EP: _____ <input type="checkbox"/> No but has applied for EP Date of application for EP: _____ <input type="checkbox"/> No and has not applied for EP Reason(s) for not applying: _____ _____ | |

| | | |
|-----|--|--|
| (l) | Whether applicant is a permanent resident in another country and if so, which country? | |
|-----|--|--|

2. Set out below the particulars of the applicant's spouse (where applicable).

| | | |
|-----|---|--|
| (a) | Name (underline family name) | |
| (b) | Date of Birth (dd/mm/yy) | |
| (c) | Nationality (for non-Singapore citizen, state whether spouse is a Singapore permanent resident) | |
| (d) | Identity Card No. | |
| (e) | Passport No. (for non-Singapore citizen) | |
| (f) | Occupation | |
| (g) | Name of employer | |

III. EDUCATIONAL AND PROFESSIONAL QUALIFICATIONS

1. Set out below details of highest academic and all professional qualifications attained by the applicant and enclose copies of all relevant certificates.

| Name and location of school/college/university | Period (mm/yy) | | Certificate/diploma/degree awarded |
|--|----------------|----|------------------------------------|
| | From | To | |
| | | | |

| Professional qualifications (Please indicate whether by examination or experience) | Institution | Year conferred |
|--|-------------|----------------|
| | | |

2. Please complete the following and enclose a copy of relevant examination statement(s) or statement(s) of exemption, if applicable.

| Name of relevant examination paper(s) under the Capital Markets and Financial Advisory Services (CMFAS) Examination | Passed/exempted | Date Passed/exemption granted |
|---|-----------------|----------------------------------|
| | | |

IV. EMPLOYMENT HISTORY

Set out below details of the applicant's employment history (including periods of part-time employment or unemployment), business and other activities during the past 10 years. If the applicant is currently employed by a person other than the principal stated in this application, state the applicant's last day of employment with his current employer.

| Name and address of employer (if self-employed, state so) | Nature of business of employer | Designation and department | Brief description of duties | Period (mm/yy) | |
|---|--------------------------------|----------------------------|-----------------------------|----------------|----|
| | | | | From | To |
| | | | | | |

V. DIRECTORSHIP AND SHAREHOLDING

1. Set out details of any directorship held by the applicant in any corporation in Singapore or elsewhere.

| Name of corporation and place of incorporation | Nature of business | Directorship (executive/non-executive) | Date of appointment | Percentage shareholding in corporation |
|--|--------------------|--|---------------------|--|
| | | | | |

2. Set out any shareholdings where 5% or more of the total number of voting shares are held by the applicant in any corporation in Singapore or elsewhere and attach financial statements of the corporation for the past 2 financial years.

| Name of corporation and place of incorporation | Nature of business | Date of acquisition (mm/yy) | Percentage shareholding in corporation |
|--|--------------------|-----------------------------|--|
| | | | |

- 3 Does the applicant or any corporation in which the applicant controls not less than 20% of the total number of voting shares, have a beneficial interest, at the time of application, whether direct or indirect, in not less than 5% of the total number of voting shares of any corporation listed for quotation or quoted on a securities exchange? Yes No
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If answer is "yes", please provide details.

- 4 Is there/will there be any area of potential conflict of interest arising from the applicant's proposed duties as the holder of a representative's licence and his directorship(s) and shareholding(s) as stated above? Yes No
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If answer is "yes", please provide details.

VI. FIT AND PROPER CRITERIA

If the answer to any of the following questions is in the affirmative, attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the applicant is considered to be a fit and proper person.

Honesty, Integrity and Reputation

- | | Yes | No |
|---|--------------------------|--------------------------|
| 1. Within the past 10 years, has the applicant | | |
| (a) been licensed, registered or approved under any law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity? | <input type="checkbox"/> | <input type="checkbox"/> |
| (b) been licensed, registered, or otherwise authorised by law to carry on any trade, business (including sole proprietorships and partnerships) or profession (including accountancy, engineering, law and architecture) in any jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |

- (c) been a shareholder of any corporation which holds membership of any class or description of any operator of a market or clearing facility in any jurisdiction?
- (d) carried on business under any name other than the name stated in this application in any jurisdiction?
- (e) been refused the right or restricted in his right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction?
- (f) been issued a prohibition order under any Act administered by the Authority or been prohibited from operating in any jurisdiction by any financial services regulatory authority?
- (g) been censured, disciplined, suspended or refused membership or registration by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?
- (h) been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?
- (i) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which may lead to those proceedings, under any law in any jurisdiction?
- (j) been convicted of any offence, served any term of imprisonment or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction?
- (k) had any civil penalty enforcement action taken against him by the Authority or any other regulatory authority under any law in any jurisdiction?
- (l) contravened or abetted another person in breach of any laws or regulations, business rules or code of conduct, whether in Singapore or elsewhere?
- (m) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction?
- (n) been refused a fidelity or surety bond, whether in Singapore or elsewhere?
- (o) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been censured, disciplined, prosecuted or convicted of a criminal offence, or been the subject of any disciplinary or criminal investigation or proceeding, in Singapore or elsewhere, in relation to any matter that took place while the person was a director, partner, substantial shareholder or concerned in the management of the business?
- (p) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been suspended or refused membership or registration by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?

- (q) been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, he was a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere?
- (r) been dismissed or asked to resign from office, employment, a position of trust or a fiduciary appointment or similar position, whether in Singapore or elsewhere?
- (s) been or is subject to disciplinary proceedings by his current or former employer(s), whether in Singapore or elsewhere?
- (t) been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere?
- (u) been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Singapore or elsewhere?

Yes No

2. Has the applicant

- (a) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction?
- (b) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?

Financial Soundness

Yes No

3. Within the past 10 years, has the applicant

- (a) been or is unable to fulfill any of his financial obligations, whether in Singapore or elsewhere?
- (b) entered into a compromise or scheme of arrangement with his creditors or made an assignment for the benefit of his creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere?
- (c) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere?
- (d) been or is the subject of a bankruptcy petition, whether in Singapore or elsewhere?
- (e) been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere?
- (f) been or is subject to any other process outside Singapore that is similar to those referred to in (d) – (e)?

VII. MISCELLANEOUS

Set out any additional information that is relevant or material to this application.

VIII. DECLARATION

1. I am aware that section 17 of the Financial Advisers Act (“the Act”) provides as follows:

“ANY PERSON WHO, IN CONNECTION WITH AN APPLICATION FOR THE GRANT, RENEWAL OR VARIATION OF A LICENCE –

(A) WITHOUT REASONABLE EXCUSE, MAKES ANY STATEMENT WHICH IS FALSE OR MISLEADING IN A MATERIAL PARTICULAR; OR

(B) WITHOUT REASONABLE EXCUSE, OMITTS TO STATE ANY MATTER OR THING WITHOUT WHICH THE APPLICATION IS MISLEADING IN A MATERIAL RESPECT,

SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000.”

2. I am aware that under section 11(1) of the Act, the Authority may refuse the application for a representative’s licence if the applicant fails to satisfy the Authority that he is a fit and proper person to be licensed.
3. I have read the Guidelines on Fit and Proper Criteria (the “Guidelines”) issued by the Authority and in submitting this form, I am satisfied that I am a fit and proper person based on the criteria stated in the Guidelines.
4. I declare that all information given in this application and in the attached annexes (if any) is true and correct.

Signature of Applicant : _____
Date : _____
(dd/mm/yy)

IX. CERTIFICATE

This certificate should be signed by a director or the secretary of the principal by which the applicant is employed or for or by arrangement with which the applicant is acting.

To the Authority –

On the basis of due and diligent enquiry made on the background of the applicant named in this form who is to act as our representative, and other information available, I am satisfied that he/she* is a fit and proper person based on the criteria stated in the Guidelines to perform the function of a representative.

Signature : _____

Name of
Director/Secretary* : _____

Date : _____

(dd/mm/yy)