

<p>SECURITIES AND FUTURES ACT (Cap. 289)</p> <p>SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)</p> <p>NOTIFICATION TO ADD ACTIVITY(IES) OF A REPRESENTATIVE UNDER SECTION 99L AND REGULATION 5</p>
<p>FINANCIAL ADVISERS ACT (Cap. 110)</p> <p>FINANCIAL ADVISERS REGUALTIONS (Rg 2)</p> <p>NOTIFICATION TO ADD FINANCIAL ADVISORY SERVICE(S) OF A REPRESENTATIVE UNDER SECTION 23I AND REGULATION 10</p>

<p>FORM 6</p>
<p>FORM 7</p>

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the form. This form should be completed after ensuring that the criteria listed in the Securities and Futures Act (Cap 289) (“SFA”) and relevant Regulations or Financial Advisers Act (Cap 110) (“FAA”) and relevant Regulations, as well as relevant Notices and Guidelines, have been satisfied.
2. This notification is to be submitted by an authorized person of the individual’s principal.
3. This notification shall also be submitted where an appointed representative adds one or more types of investment product in respect of which the representative provides any financial advisory service under the FAA.

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

General Info

Full name of company, henceforth referred to in the rest of the form as “The Principal”.

Name of representative

Representative number

Existing Activities from the Register of Representatives	Date Issued

Proposed Activity(ies)

Indicate the regulated activity(ies) for which the individual is to act as a representative

Under the Securities and Futures Act (SFA)

- Dealing in Securities
- Trading in Futures Contracts
- Leveraged Foreign Exchange Trading
- Advising on Corporate Finance
- Fund Management
- REIT Management

Under the Financial Advisers Act (FAA)

Advising on Investment Products –

- Collective investment schemes
- Futures contracts
- Life policies
- Structured deposits
- Securities (other than collective investment schemes)
- Contracts or arrangements for the purposes of leveraged foreign exchange trading

- Contracts or arrangements for the purposes of foreign exchange trading

Issuing or Promulgating Analyses/Reports on Investment Products –

- Collective investment schemes
- Futures contracts
- Life policies
- Structured deposits
- Securities (other than collective investment schemes)
- Contracts or arrangements for the purposes of leveraged foreign exchange trading
- Contracts or arrangements for the purposes of foreign exchange trading
- Marketing Collective Investment Scheme
- Arranging Contracts of Insurance in respect of Life policies

Fit and Proper Certification

On the basis of due and diligent enquiries made on the background of the representative named in this form who is to act as the corporation's representative, including conducting the necessary reference checks with the representative's past employer(s), and other information available, the principal certifies that it:

is satisfied that the representative is not the subject of a bankruptcy petition or an undischarged bankrupt, in Singapore or elsewhere.

is satisfied that there is no conflict of interest, including any conflict arising from the representative's shareholdings and / or directorship(s).

is satisfied that the representative meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09] issued by the Authority.

is satisfied that the individual meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Licensed Financial Advisers and Exempt Financial Advisers [Notice No. FAA-N13] issued by the Authority (not applicable to licensed or exempt financial advisers who are granted an exemption in accordance with FAA-G07 Guidelines on Exemption for Specialised Units Serving High Net Worth Individuals, under section 100(2) of the FAA)

Please tick one of the following two:

is not aware of any adverse information on the individual.

is aware that the individual has adverse information which it has assessed and nevertheless it considers that the individual meets the fit and proper criteria under the Guidelines on Fit and Proper Criteria issued by the Authority [Guideline No. FSG-G01]. The principal undertakes to closely supervise and institute proper controls and systems to monitor the individual's activities.

is satisfied that the representative meets all the other requirements under the Guidelines on Fit and Proper Criteria issued by the Authority [Guideline No. FSG-G01].

is aware that the due diligence conducted on the background of the individual named in this form shall be documented and properly kept as prescribed under the section 99H(4) of the SFA and/or 23F(4) of the FAA.

Please note that the Authority may refuse a notification submitted on behalf of an individual to carry on business in regulated activity(ies) or provide financial advisory service(s) if the individual and/or the Corporation fails to satisfy the Authority that the individual is a fit and proper person to carry on business in the regulated activity(ies) or provide financial advisory service(s).

Declaration

This notification is submitted on behalf of the principal by [Name of Director/ Principal Officer/ Chief Executive Officer] who certifies that:

- a. On the basis of due and diligent enquiries made on the background of the representative named in this form who is to act as the corporation's representative, and other information available, the principal believes the representative to be fit and proper to perform the function of a representative in relation to the regulated activity(ies) or financial advisory service(s); and
- b. the information contained in the above notification is to the best of the principal's knowledge and belief true and correct.

Dated this (DD/MM/YYYY) :

Confirmation

Where the Individual is notified to conduct Regulated Activity(ies) under the SFA:

is aware that, pursuant to section 99O(1) of the SFA,

Any principal who, in connection with the lodgement of any document under section 99H of the SFA -

- (a) makes a statement which is false or misleading in a material particular; or
- (b) omits 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.

Where the Individual is notified to provide Financial Advisory Service(s) under the FAA:

is aware that, pursuant to section 23L(1) of the FAA,

Any principal who, in connection with the lodgement of any document under section 23F of the FAA -

- (a) makes a statement which is false or misleading in a material particular; or
- (b) omits 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.

confirms that the information submitted is true and correct.

Signature : _____
Name : _____
Designation : _____
Date : _____

(DD/MM/YYYY)