

FINANCIAL ADVISERS ACT  
(Cap. 110)

FINANCIAL ADVISERS REGULATIONS  
(Rg 2)

**NOTICE OF CESSATION OF PROVISION  
OF FINANCIAL ADVISORY SERVICE BY A  
LICENSED FINANCIAL ADVISER [AND  
REPRESENTATIVE OF SUCH A LICENSED  
FINANCIAL ADVISER UNDER SECTION  
18] AND REGULATION 12**

FORM

**5**

I. LICENSED FINANCIAL ADVISER

1. Name of licensed financial adviser : \_\_\_\_\_
2. Licence no. : \_\_\_\_\_
3. Notice is hereby given that, with effect from \_\_\_\_\_ (dd/mm/yy),  
the abovementioned licensed financial adviser will cease/has ceased\* –

- to provide ALL financial advisory service(s) authorised by its financial adviser's licence;
- to keep a register of interests in securities;

**OR**

- to carry on business in Singapore in respect of the following type(s) of financial advisory service or investment product authorised under its financial adviser's licence:
  - 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
- to keep a register of interests in securities

## II. NOTICE BY REPRESENTATIVE(S)

Notice is hereby given that, with effect from \_\_\_\_\_ (dd/mm/yy), the following representative(s) will cease/has ceased\* –

Name of Representative	Representative No.	Signature of Representative
(1)		
(2)		
(3)		

- to act as a representative of \_\_\_\_\_ (name of principal<sup>+</sup>) and to keep a register of interests in securities;

### **OR**

Notice is hereby given that, with effect from \_\_\_\_\_ (dd/mm/yy), the following representative(s) will cease/has ceased\* –

Name of Representative	Representative No.	Signature of Representative
(1)		
(2)		
(3)		

<sup>+</sup> For the purposes of this form, unless the context otherwise requires, principal means the financial adviser for which the representative acts.

- to act as a representative of \_\_\_\_\_ (name of principal<sup>+</sup>) with respect to the following type(s) of financial advisory service or investment product:
- 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
- to keep a register of interests in securities

### III. DECLARATION BY LICENSED FINANCIAL ADVISER

WE ARE AWARE THAT SECTION 18(3) OF THE FINANCIAL ADVISERS ACT (CAP. 110) AND REGULATION 12(2) OF THE FINANCIAL ADVISERS REGULATIONS (RG. 2) PROVIDES THAT WHERE A LICENSED FINANCIAL CEASES TO PROVIDE ALL OR ANY TYPES OF THE FINANCIAL ADVISORY SERVICE AUTHORISED BY ITS LICENCE, THE LICENSED FINANCIAL ADVISER SHALL RETURN ITS LICENCES TO THE MONETARY AUTHORITY OF SINGAPORE. WE ARE ALSO AWARE THAT A BREACH OF SECTION 18(3) AND REGULATION 12(2), (3), (4) AND (5) OF THE

<sup>+</sup> For the purposes of this form, unless the context otherwise requires, principal means the financial adviser for which the representative acts.

REGULATIONS WOULD CONSTITUTE AN OFFENCE UNDER SECTION 87 OF THE ACT AND THE PERSON COMMITTING THE OFFENCE SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$12,500.

We hereby attach to this form the original of the financial adviser licence.

Signature : \_\_\_\_\_  
 Name of Director/Secretary \*  
 of the licensed financial adviser : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 Date : \_\_\_\_\_  
 (dd/mm/yy)

*Instructions for completion of Form 5:*

- (1) Where there is an asterisk (\*), please delete whichever is inapplicable.
- (2) Please tick (✓) in the relevant boxes where appropriate.
- (3) This notice is to be signed by a director or the secretary of the licensed financial adviser and where applicable, the representatives named in Part II of this form.