

<p>SECURITIES AND FUTURES ACT (Cap. 289)</p> <p>SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)</p> <p>NOTIFICATION OF THE COMPLETION OF EXAMINATION REQUIREMENTS BY A PROVISIONAL REP UNDER SECTION 99E(5) AND REGULATION 3B(2)</p>
<p>FINANCIAL ADVISERS ACT (Cap. 110)</p> <p>FINANCIAL ADVISERS REGULATIONS (Rg 2)</p> <p>NOTIFICATION OF THE COMPLETION OF EXAMINATION REQUIREMENTS BY A PROVISIONAL REPRESENTATIVE UNDER SECTION 23D(5) AND REGULATION 4B(2)</p>

<p>FORM 3D</p>
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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.

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

Please note:

Provisional status should be valid for 3 months only. After 3 months, if no notification of completion of examination requirements is received from the principal, the provisional status will automatically be ceased, and the system would not allow the principal to convert the inactive representative to an active representative via the mentioned notification.

Where the provisional representative is notified for more than one activity, and the principal does not notify MAS of the completion of the examinations for all the activities in this notification, the provisional status would cease in respect of those activities not notified.

SFA Activities:

- The provisional representative has completed all examination requirements relevant to the regulated activities conducted by him as set out in this notification, as specified in 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.

Regulated Activities under the SFA	Date Notified (DD/MM/YYYY)	Status	Please tick activity to notify completion of examination
Dealing in Securities			
Trading in Futures Contracts			
Leveraged Foreign Exchange Trading			
Advising on Corporate Finance			
Fund Management			
REIT Management			

FAA Activities:

- The provisional representative has completed all examination requirements relevant to the regulated activities conducted by him as set out in this notification, as specified in 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.

Regulated Activities under the FAA	Date Notified (DD/MM/YYYY)	Please tick activity to notify completion of examination
Advising on Investment Products		
<input type="checkbox"/> Collective investment schemes		
<input type="checkbox"/> Futures contracts		
<input type="checkbox"/> Life policies		
<input type="checkbox"/> Structured deposits		
<input type="checkbox"/> Securities (other than collective investment schemes)		
<input type="checkbox"/> Contracts or arrangements for the purposes of leveraged foreign exchange trading		
<input type="checkbox"/> Contracts or arrangements for the purposes of foreign exchange trading		
Issuing or Promulgating Analyses/ Reports on Investment Products		
<input type="checkbox"/> Collective investment schemes		
<input type="checkbox"/> Futures contracts		
<input type="checkbox"/> Life policies		
<input type="checkbox"/> Structured deposits		
<input type="checkbox"/> Securities (other than collective investment schemes)		
<input type="checkbox"/> Contracts or arrangements for the purposes of leveraged foreign exchange trading		
<input type="checkbox"/> Contracts or arrangements for the purposes of foreign exchange trading		
<input type="checkbox"/> Marketing Collective Investment Scheme		
<input type="checkbox"/> 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 individual named in this form who is to act as the corporation's representative, including conducting the necessary reference checks with the individual's past employer(s), and other information available, the principal certifies that it:

is satisfied that the individual is not the subject of a bankruptcy petition or been declared a bankrupt and the bankruptcy is undischarged, in Singapore or elsewhere.

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

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 individual 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 section 99H(4) of the SFA and/or section 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

The principal:

- 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."

- 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.

- is aware that this form can only be submitted once. For examinations which were not indicated as having been completed by the provisional representative in this one-time notification to the Authority, the representative is required to cease the conduct of regulated activities relevant to those examinations.

Signature : _____
Name : _____
Designation : _____
Date : _____
(DD/MM/YYYY)