

SECURITIES AND FUTURES ACT
(Cap. 289)

SECURITIES AND FUTURES
(PROVISIONS FOR PERSONS AND MATTERS
PREVIOUSLY REGULATED UNDER COMMODITY
TRADING ACT)
REGULATIONS 2007

**FORM FOR TRANSFER TO A CAPITAL MARKETS
SERVICES REPRESENTATIVE'S LICENCE UNDER
REGULATIONS 7 (1) AND 8(b)(i)**

FORM

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Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the 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 form.
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 form prior to the issuance of the licence, the Monetary Authority of Singapore (the "Authority") should be notified immediately.
6. This form is to be submitted together with a certificate in the manner set out in Part X of this Form, duly signed by a director or the secretary of the individual's principal.
7. Please note that under section 133 of the Securities and Futures Act (Cap. 289) (the "Act"), the holder of a representative's licence is required to keep a register of his interests in securities at his principal place of business.

FOR OFFICIAL USE ONLY

Lodgment received on:

Remarks:

I. INFORMATION IS SUBMITTED FOR A CAPITAL MARKETS SERVICES REPRESENTATIVE'S LICENCE FOR TRADING IN FUTURES CONTRACTS BY

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

TO ACT AS A REPRESENTATIVE OF

(Full name of principal)

II. PROPOSED ACTIVITY

1. State the individual's nature of appointment with the principal.

Employee

Self-employed

2. State the individual's designation in the principal and give a brief description of his duties.

3. Highlight potential areas of conflicts of interest where the individual is to act as a representative in more than one regulated activity, and explain how such conflicts will be resolved or mitigated.

III. PERSONAL PARTICULARS

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

1.1	Residential Address	
1.2	Contact No(s).	
1.3	E-mail Address	
1.4	Date of Birth (dd/mm/yy)	
1.5	Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
1.6	Place of Birth	
1.7	Nationality (For non-Singapore citizens, state whether you are a Singapore permanent resident)	
1.8	Identity Card No.	

1.9	Passport No. (for non-Singapore citizen)	
1.10	Unique Identification No. (UIN, for Singapore permanent resident where applicable)	
1.11	For individual who is not a Singapore citizen or permanent resident, has the individual obtained 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: _____
1.12	Whether individual is permanent resident in another country and if so which country	

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

2.1	Name of individual's spouse (underline family name)	
2.2	Date of Birth (dd/mm/yy)	
2.3	Place of Birth	
2.4	Nationality (For non-Singapore citizens, state whether spouse is a Singapore permanent resident)	
2.5	Identity Card No.	
2.6	Passport No. (for non-Singapore citizen)	
2.7	Occupation	
2.8	Name of employer	

IV. EDUCATIONAL AND PROFESSIONAL QUALIFICATIONS

1. Set out below details of highest academic and professional qualifications attained by the individual 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	Institution	Year conferred

2. Complete the following and enclose a copy of the relevant examination statement(s) or statement(s) of exemption, where applicable.

Name of relevant examination paper(s):

- (1) _____ Passed Exempted
- (2) _____ Passed Exempted
- (3) _____ Passed Exempted

V. EMPLOYMENT HISTORY

Set out details of the individual's employment history (including periods of part-time employment or unemployment), business and other activities during the past 10 years. .

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

VI. DIRECTORSHIP AND SHAREHOLDINGS

1. Set out details of any directorship or shareholdings where 5% or more of the total number of voting shares are held by the individual in any corporation in Singapore or elsewhere. In respect of shareholdings in any corporation in Singapore or elsewhere, attach financial statements of such corporations for the past 2 financial years.

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

2. Is there/will there be any potential areas of conflicts of interest arising from the individual's proposed duties as the holder of a representative's licence and his directorship(s) and shareholding(s) as stated above? If yes, please elaborate.
- Yes No
-
3. Does the individual or any corporation in which the individual controls not less than 20% of the total number of voting shares, have a beneficial interest, at the time of form submission, 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
-

VII. 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 individual is considered to be a fit and proper person.

Honesty, Integrity and Reputation

1. Within the past 10 years, has the individual —

- Yes No
- (a) been licensed, registered or approved under a law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity?
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- | | | | |
|------------|---|--------------------------|--------------------------|
| <i>(b)</i> | 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"/> |
| <i>(c)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(d)</i> | carried on business under any name other than the name stated in this form in any jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(e)</i> | been refused the right or restricted in its or 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(f)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(g)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(h)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(i)</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 might lead to those proceedings, under any law in any jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(j)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(k)</i> | had any civil penalty enforcement action taken against it or him by the Authority or any other regulatory authority under any law in any jurisdiction? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(l)</i> | contravened or abetted another person in breach of any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |
| <i>(m)</i> | 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? | <input type="checkbox"/> | <input type="checkbox"/> |

- | | | | |
|-----|--|--------------------------|--------------------------|
| (n) | been refused a fidelity or surety bond, whether in Singapore or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |
| (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 criminal offence, or been the subject of any disciplinary or criminal investigation or proceeding, whether in Singapore or elsewhere, in relation to any matter that took place while he was a director, partner, substantial or concerned in the management of the business? | <input type="checkbox"/> | <input type="checkbox"/> |
| (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? | <input type="checkbox"/> | <input type="checkbox"/> |
| (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? | <input type="checkbox"/> | <input type="checkbox"/> |
| (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? | <input type="checkbox"/> | <input type="checkbox"/> |
| (s) | been or is subject to disciplinary proceedings by his current or former employer(s), whether in Singapore or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |
| (t) | been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |
| (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? | <input type="checkbox"/> | <input type="checkbox"/> |

2. Has the individual –

	Yes	No
(a) had any judgment (in particular, that associated with a finding of fraud, misrepresentation, or dishonesty) entered against him 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?	<input type="checkbox"/>	<input type="checkbox"/>
(b) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>

Financial Soundness

3. Within the past 10 years, has the individual —

	Yes	No
(a) been or is unable to fulfill any of its or his financial obligations, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(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?	<input type="checkbox"/>	<input type="checkbox"/>
(c) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(d) been or is the subject of a bankruptcy petition whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(e) been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(f) been or is subject to any other process outside Singapore that is similar to those referred to in (d) and (e)?	<input type="checkbox"/>	<input type="checkbox"/>

VIII OTHER INFORMATION

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

IX. DECLARATION

1. I am aware that section 329(1), (3) and (4) of the Act provide as follows:

“(1) ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR;”

“(3) ANY PERSON WHO SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR;”, AND

“(4) ANY PERSON WHO CONTRAVENES SUBSECTIONS (1) AND (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR BOTH.”

2. I am aware that the Authority may refuse to grant a representative’s licence if the individual fails to satisfy the Authority that he is a fit and proper person to be licensed. I have read the Guidelines on Fit and Proper Criteria issued by the Authority.
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 tht I am a fit and proper person based on the criteria stated in the Guidelines.
4. I declare that all information given in this form and in the attached annexes (if any) is true and correct.

Signature : _____

(Signed by Individual)

Date : _____

(dd/mm/yy)

X. CERTIFICATE

This certificate should be signed by a director or the secretary of the corporation by whom the individual is employed or for or by arrangement with whom the individual is acting.

To the Authority —

On the basis of due and diligent enquiry made on the background of the individual named in this form who is to act as our representative, and other information available, we believe him/her* to be fit and proper to perform the function of a representative.

Signature : _____

Name : _____

Designation : _____

Date : _____

(dd/mm/yy)