

<p>SECURITIES AND FUTURES ACT (Cap. 289)</p> <p>SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)</p> <p>NOTIFICATION FOR THE CESSATION OF A REPRESENTATIVE IN ANY OR ALL OF THE REGULATED ACTIVITIES UNDER SECTION 99D(8), 99E(4) AND 99F(4), AND REGULATION 11B</p>
<p>FINANCIAL ADVISERS ACT (Cap. 110)</p> <p>FINANCIAL ADVISERS REGULATIONS (Rg 2)</p> <p>NOTIFICATION FOR THE CESSATION OF A REPRESENTATIVE IN ANY OR ALL OF THE FINANCIAL ADVISORY SERVICES UNDER SECTION 23C(8) AND 23D(4), AND REGULATION 12A</p>

<p>FORM 8</p>
<p>FORM 10</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 ceases 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

Please indicate the type of regulated activity(ies) to be ceased.

- The representative would cease to act as a representative in respect of all regulated activities / financial advisory services for which he is notified to conduct.
- The representative would cease to act as a representative for the following activity(ies) / service(s) :-

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
- Providing Credit Rating Services

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

Please indicate the effective date of cessation*: (DD/MM/YYYY)

**This date cannot be beyond the 3-month validity period for temporary and provisional representatives*

DECLARATION

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