

SECURITIES AND FUTURES ACT  
(Cap. 289)

SECURITIES AND FUTURES  
(LICENSING AND CONDUCT OF BUSINESS)  
REGULATIONS (Rg 10)

**NOTIFICATION FOR THE APPOINTMENT OF A  
TEMPORARY REPRESENTATIVE UNDER SECTION  
99F AND REGULATION 3C**

FORM  
**3C**

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 section 99F of the Securities and Futures Act (Cap 289) (“SFA”), relevant Regulations, as well as relevant Notices and Guidelines issued under the SFA, have been satisfied.
2. This notification is to be submitted by an authorized person of the individual’s principal.
3. Once the notification has been posted into the Monetary Authority of Singapore [“the Authority”]’s Register of Representatives, the principal shall not be allowed to withdraw this notification.
4. Unless the principal has a GIRO arrangement with the Authority for the payment of fees under the SFA, the submission of this form should be followed by a cheque made out to “Monetary Authority of Singapore” for the non-refundable lodgment fee under regulation 6 of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) within three working days. Please indicate the individual’s name and representative number at the back of the cheque.
5. If there is any change in information involving the individual’s name, NRIC / passport number and nationality of the individual furnished in the notification, please inform the Authority before 5pm on the day of submission, otherwise the form will need to be withdrawn and a new form re-submitted.
6. Under the SFA, a principal corporation shall not permit any individual to provide any regulated activity on its behalf unless the individual is an appointed representative in respect of that type of regulated activity. Please indicate each regulated activity which the individual intends to conduct under the SFA.
7. All fields are mandatory unless otherwise stated.

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

**General Info**

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

Has the individual carried on business in regulated activity(ies) under the Securities and Futures Act on or after 26/11/2010?\*

Yes       No

If the answer to the above question is ‘Yes’, please fill in the individual’s Representative Number.

Representative Number:

**Personal Info**

Name as reflected in NRIC or passport\*

Will the representative be based overseas?\*

Yes       No

Residential Address (Please do not enter PO Box address)\*

  

Singapore Postal Code

E-mail Address\*

Contact Number

(a) Home

(b) Mobile

Date of Birth (DD/MM/YYYY)\*

Gender\*

Male

Female

Nationality\*

Singapore Citizen

Singapore PR. Please specify nationality:

Others. Please specify nationality:

NRIC Number (Compulsory For Singapore Citizen or Singapore PR)

Foreign Identification Number (FIN) and / or Passport Number (Compulsory for non-Singaporean) (Note: FIN, once available, must be provided if Nationality is Others. Otherwise, Passport number should be provided.)

FIN Number:

Passport Number:

Other Id (e.g. Malaysian Id)

**Spouse Info**

Name of individual's spouse as reflected in NRIC or passport

Date of Birth (DD/MM/YYYY)

Nationality

Singapore Citizen

Singapore PR. Please specify nationality:

Others. Please specify nationality:

NRIC Number (Compulsory For Singapore Citizen or Singapore PR)

Foreign Identification Number (FIN) and / or Passport Number (Compulsory for non-Singaporean)

FIN Number:

Passport Number:

Occupation

Name of Employer

**Proposed Activity(ies)**

Please indicate the correct regulated activities which the individual intends to conduct under the SFA.

\* Note: Under the SFA, a principal corporation shall not permit any individual to provide any type of capital markets services on its behalf unless the individual is an appointed representative in respect of that type of capital markets service.

**Under the Securities and Futures Act (SFA)**

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

Please indicate proposed date of commencement period of the individual's proposed appointment

From\*  To

Please note that processing of the notification for Appointment of Temporary Representative will take 7 – 14 days. The effective date of commencement of the appointment may not be the date indicated above. For avoidance of doubt, please ensure that the name of the individual has been entered into the public register of representatives and indicated as "Temporary Representative" for the relevant regulated activity (ies), before commencing the regulated activity (ies).

### **Status with other Regulatory Bodies or Exchanges**

Status with any regulatory authority for financial services in other jurisdictions, or any overseas securities exchanges or futures exchanges within the past 2 years.

Name of Regulatory Authority / Exchange	Status [Licensing, Registered, Approved, Others (please specify)]	Description of regulated activities	Principal corporation	Period (DD / MM / YYYY)	
				From	To

### **Business Interests**

Set out details of any directorship/sole proprietorship/partnership/other business interests held by the individual in any corporation in Singapore or elsewhere.

Name of entity	Place of incorporation / establishment	Nature of business	Business Interests (i.e. Role / Capacity)	Date of acquiring business interest (DD/MM/YYYY)

### **Shareholdings/Ownership**

Set out details of any shareholdings/ownership where 5% or more of the total number of voting shares/units are held by the individual in any entity in Singapore or elsewhere.

Name of entity	Place of incorporation / establishment	Nature of business	Date of acquisition (DD/MM/YYYY)	Percentage shareholding in corporation / ownership in entity

### **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 an undischarged bankrupt, in Singapore or elsewhere.

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

is satisfied that the individual meets all the requirements under the Entry Requirements of a Provisional or Temporary Representative [Notice No. SFA-N10] issued by the Authority.

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 Corporation undertakes to closely supervise and institute proper controls and systems to monitor the individual's activities.

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.

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] except for the examination requirements.

is satisfied that the individual is not in arrears in the payment of such contributions on his / her own behalf to the Central Provident Fund (CPF) as are required under the Central Provident Fund (Self Employed Persons) Regulations (Rg 25) (the CPF Regulations), where applicable.

## **Undertaking**

The Principal, in respect of all regulated activity (ies) to be carried out by the individual, undertakes:

- to put in place measures, including proper training, to ensure that the individual understands and complies with all Singapore laws that are relevant to the regulated activity(ies) carried out by him / her;
  
- to ensure that the representative is accompanied at all times by any of the persons referred to in paragraph (6) of regulation 3A of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) ["SF(LCB)R"] when meeting any client or member of the public in the course of carrying on business in any regulated activity;
  
- to ensure that the representative sends concurrently to any of the persons referred to in paragraph (6) of regulation 3A of the SF(LCB)R all electronic mail that he sends to any client or member of the public in the course of carrying on business in any regulated activity;
  
- to ensure that the representative does not communicate by telephone with any client or member of the public in the course of carrying on business in any regulated activity, other than by telephone conference in the presence of any of the persons referred to in paragraph (6) of regulation 3A of the SF(LCB)R.

## **Declaration**

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

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 individual named in this form who is to act as the corporation's representative, and other information available, the Principal believes the individual to be fit and proper to perform the function of a representative in relation to the regulated activity(ies); and
- b. the information contained in the above notification is to the best of the Principal's knowledge and belief true and correct.

**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.”

confirms that the information submitted is true and correct.

is aware that a non-refundable lodgement fee as prescribed under regulation 6 of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) is chargeable upon successful submission of this notification.

Signature : \_\_\_\_\_  
Name : \_\_\_\_\_  
Designation : \_\_\_\_\_  
Date : \_\_\_\_\_

(dd/mm/yy)