

SECURITIES AND FUTURES ACT  
(Cap. 289)

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

**NOTICE OF CESSATION OF BUSINESS UNDER  
SECTION 93(1) AND REGULATION 11**

FORM

**7**

I. HOLDER OF CAPITAL MARKETS SERVICES LICENCE

1. Name of holder of capital markets services licence : \_\_\_\_\_
2. Licence no. : \_\_\_\_\_  
\_\_\_\_\_

Notice is hereby given that with effect from \_\_\_\_\_  
(dd/mm/yy)

the abovementioned licensee will cease/has ceased\* —

to carry on ALL regulated activities in respect of its capital markets services licence;

to keep a register of interests in securities OR

to carry on business in Singapore in respect of the following regulated activity(s):

- |   |  |
|---|--|
| <input type="checkbox"/> Dealing in Securities              | <input type="checkbox"/> Fund Management                             |
| <input type="checkbox"/> Trading in Futures Contracts       | <input type="checkbox"/> Real Estate Investment Trust Management     |
| <input type="checkbox"/> Leveraged Foreign Exchange Trading | <input type="checkbox"/> Securities Financing                        |
| <input type="checkbox"/> Advising on Corporate Finance      | <input type="checkbox"/> Providing Custodial Services for Securities |
| <input type="checkbox"/> Providing Credit Rating Services   |  |

II. REPRESENTATIVE(S)

| Name of Representative | Representative No. | Signature of Representative |
|------------------------|--------------------|-----------------------------|
| (1)                    |                    |                             |
| (2)                    |                    |                             |

Notice is hereby given that with effect from \_\_\_\_\_ (dd/mm/yy)  
the abovementioned representatives will cease/has ceased\* —

to act as a representative of \_\_\_\_\_ (name  
of principal) and to keep a register of interests in securities;

OR

| Name of Representative | Representative No. | Signature of Representative |
|------------------------|--------------------|-----------------------------|
| (1)                    |                    |                             |
| (2)                    |                    |                             |

Notice is hereby given that with effect from \_\_\_\_\_ (dd/mm/yy) the  
abovementioned representatives will cease/has ceased\* —

to act as a representative of \_\_\_\_\_ (name  
of principal) with respect to the following activity(s):

- |   |  |
|---|--|
| <input type="checkbox"/> Dealing in Securities              | <input type="checkbox"/> Advising on Corporate Finance           |
| <input type="checkbox"/> Trading in Futures Contracts       | <input type="checkbox"/> Fund Management                         |
| <input type="checkbox"/> Leveraged Foreign Exchange Trading | <input type="checkbox"/> Real Estate Investment Trust Management |
| <input type="checkbox"/> Providing Credit Rating Services   |  |

III. DECLARATION BY HOLDER OF CAPITAL MARKETS SERVICES LICENCE

WE ARE AWARE THAT REGULATION 11(1) AND (2) OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (RG 10) (THE REGULATIONS) PROVIDES THAT WHERE THE HOLDER OF A CAPITAL MARKETS SERVICES LICENCE CEASES TO CARRY ON BUSINESS IN ANY OR ALL OF THE REGULATED ACTIVITIES TO WHICH ITS LICENCE RELATES, THE HOLDER SHALL RETURN ITS LICENCES TO THE MONETARY AUTHORITY OF SINGAPORE. WE ARE ALSO AWARE THAT A BREACH OF REGULATION 11(2), (3) or (4) OF THE REGULATIONS WOULD CONSTITUTE AN OFFENCE UNDER REGULATION 55 OF THE REGULATIONS AND THE PERSON COMMITTING THE OFFENCE SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000.

We hereby attach to this form the original of the capital markets services licence.

Signature : \_\_\_\_\_  
Name : \_\_\_\_\_  
Designation : \_\_\_\_\_  
Date : \_\_\_\_\_  
(dd/mm/yy)

*Notes:*

- (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 company secretary of the holder of a capital markets services licence.