

SECURITIES AND FUTURES ACT  
(Cap. 289)

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

**NOTICE GIVEN UNDER SECTION 93(1)  
FOR CHANGE OF PRINCIPAL PLACE OF  
BUSINESS/ NOTICE UNDER REGULATION 4(a) OR  
(b) FOR CHANGE OF PLACE AT WHICH  
REGISTER OF INTERESTS IN SECURITIES IS  
KEPT UNDER SECTION 131**

FORM  
**10**

1. Name of holder of capital markets services licence (the holder):

\_\_\_\_\_

2. Regulated activity(s) carried on by the holder:

- Dealing in Securities
- Trading in Futures Contracts
- Leveraged Foreign Exchange Trading
- Advising on Corporate Finance
- Fund Management
- Securities Financing
- Providing custodial services for securities

3. Licence number of holder : \_\_\_\_\_

4. (a) New address of principal place of business of holder:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) Date of change of principal place of business of holder:

\_\_\_\_\_  
(dd/mm/yy)

5. New place at which holder's register of interests in securities (the register) is kept or, if register is in electronic form, the place at which full access to register may be gained, where applicable:

- At principal place of business
- At a place of business which the holder engages in the regulated activity(s) specified in paragraph 2 (to specify address):

\_\_\_\_\_

Signature

\_\_\_\_\_

Name

\_\_\_\_\_

Designation

\_\_\_\_\_

Date

\_\_\_\_\_

(dd/mm/yy)

*Notes:*

- (1) Please tick (✓) in the relevant boxes where appropriate.
- (2) This notice is to be signed by a director or the secretary of the holder.
- (3) Where representatives of the holder change the place at which they keep their registers as a result of—
  - (a) a change of the holder's principal place of business; or
  - (b) a change of place at which the holder keeps its register,

an annex giving the names and licence numbers of all such representatives, and the address of the new place where such representatives will keep their registers (where such new place is different from the holder's new principal place of business or the new place at which the holder keeps its register) shall be submitted; and the representatives shall sign against their licence numbers to indicate their lodgment of Form 10.