

SECURITIES AND FUTURES ACT  
(Cap. 289)

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

**NOTICE GIVEN UNDER SECTION 93(1) AND  
REGULATION 10(1) FOR CHANGE OF A  
REPRESENTATIVE'S PRINCIPAL/NOTICE UNDER  
REGULATION 4(b) FOR CHANGE OF PLACE AT  
WHICH THE REGISTER OF INTERESTS IN  
SECURITIES IS KEPT UNDER SECTION 131**

FORM

9

1. Name of holder of  
representative's licence  
(the licensee) : \_\_\_\_\_
2. Licence no. : \_\_\_\_\_
3. Expiry date of licence : \_\_\_\_\_  
(dd/mm/yy)

II.

Notice is hereby given that on \_\_\_\_\_ (dd/mm/yy), the new principal place at which the register of interests in securities of the licensee will be/has been\* kept or, if the register is in an electronic form, full access to the register may be gained, is as follows:

\_\_\_\_\_ (to specify address).

III.

1. Notice is hereby given that on \_\_\_\_\_ (dd/mm/yy), the abovementioned licensee will cease/has ceased\* to be a representative of \_\_\_\_\_ (name of former principal), and that from \_\_\_\_\_ (dd/mm/yy), the licensee will be/has been\* a representative of \_\_\_\_\_ (name of new principal).

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

3. Indicate the regulated activity(s) to be performed by the licensee in the new principal.

- Dealing in Securities
- Trading in Futures Contracts
- Leveraged Foreign Exchange Trading
- Advising on Corporate Finance
- Fund Management

4. State the licensee's nature of appointment with the new principal.

- Employee
- Self-employed

5. Set out any information relating to any event that occurred since the last time an application was made or information or notification was given, by the licensee to the Authority under the Securities and Futures Act (Cap. 289) (the Act) or the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) (the Regulations), that is material or relevant to this change.

6. DECLARATION

I AM AWARE THAT REGULATION 10(1A) OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (REG 10) (THE REGULATIONS) PROVIDES THAT THE HOLDER OF A REPRESENTATIVE'S LICENCE WHO CHANGES HIS PRINCIPAL SHALL LODGE THE NOTICE IN FORM 9 AND RETURN HIS LICENCE TO THE MONETARY AUTHORITY OF SINGAPORE NOT LATER THAN 14 DAYS FROM THE DATE OF CHANGE OF HIS PRINCIPAL, AND THAT A BREACH OF REGULATION 10(1A) 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 \$25,000.

- I hereby attach to this form the original copy of my licence.
- I confirm that a notice of cessation in Form 7/8\* in the First Schedule to the Regulations was previously lodged and the original copy of my licence was attached to that Form

Signature

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 form is not applicable to the holder of a representative's licence who has lodged Form 10.
- (4) Parts II and III are to be completed by the holder of a representative's licence who changes his principal in relation to which his licence was granted.
- (5) Where there is no change to the principal of a representative, Part III is not applicable.