

<p style="text-align: center;">SECURITIES AND FUTURES ACT (Cap. 289)</p> <p style="text-align: center;">SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)</p> <p style="text-align: center;">NOTIFICATION FOR THE APPOINTMENT OF AN APPOINTED REPRESENTATIVE UNDER SECTION 99D AND REGULATION 3A</p>	<p>FORM 3A</p>
<p style="text-align: center;">FINANCIAL ADVISERS ACT (Cap. 110)</p> <p style="text-align: center;">FINANCIAL ADVISERS REGULATIONS (Rg 2)</p> <p style="text-align: center;">NOTIFICATION FOR THE APPOINTMENT OF AN APPOINTED REPRESENTATIVE UNDER SECTION 23C AND REGULATION 4A</p>	<p>FORM 3A</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 section 99D of the Securities and Futures Act (Cap 289) (“SFA”) and relevant Regulations or section 23C of the 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. Once the individual’s name has been entered into the Monetary Authority of Singapore’s (“the Authority”) public register of representatives as an appointed representative, the principal shall not be allowed to withdraw this form.
4. Unless the principal has a GIRO arrangement with the Authority for the payment of fees under the SFA and/or FAA, 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) and regulation 6 of the Financial Advisers Regulations (Rg 2) 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the notification, please inform the Authority before 5pm on the day of submission, otherwise the form will need to be withdrawn and a new form re-submitted.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. All fields are mandatory unless otherwise stated.

FOR OFFICIAL USE ONLY
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 and / or provided financial advisory service(s) under the Financial Advisers Act on or after [migration date]?*

Yes No

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

Representative Number:

Name as in NRIC / FIN / Passport

Name as reflected in NRIC or passport*

Will the representative be based overseas?*

Yes No

State the representative’s relationship with the principal*

Employee
 Self-employed

The Principal 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 as are required under the Central Provident Fund (Self Employed Persons) Regulations (Rg 25).^

^The above declaration is mandatory for all individual who are applying to become an appointed or provisional representative, regardless of whether the individual is required to contribute to the Central Provident Fund.

Personal Info

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)

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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)

Indicate the regulated activity(ies) for which the individual is to act as a representative.

Under the Securities and Futures Act (SFA)

Advising on Corporate Finance

Dealing in Securities

Fund Management

- Trading in Futures Contracts
- Leveraged Foreign Exchange Trading
- Real Estate Investment Trust Management

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**

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

Set out details of any shareholdings where 5% or more of the total number of voting shares are held by the individual in any business or corporation 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).

[Applicable only if SFA regulated activities are selected]

is satisfied that the individual meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of

Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09].

[Applicable only if FAA regulated activities are selected]

is satisfied that the individual meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Licensed Financial Advisers and Exempt Financial Advisers [Notice No. FAA-N13] issued by the Authority (not applicable to licensed or exempt financial advisers who are granted an exemption in accordance with FAA-G07 Guidelines on Exemption for Specialised Units Serving High Net Worth Individuals, under section 100(2) of the FAA).

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 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].

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 and / or section 23F(4) of the FAA.

Declaration

Please note that the Authority may refuse a notification submitted on behalf of an individual to carry on business in regulated activity(ies) or provide financial advisory service(s) 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) or provide financial advisory service(s).

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) or financial advisory service(s); 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.

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.

is aware that a non-refundable notification fee as prescribed under regulation 6(7A) of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) and regulation 6(2A) of the Financial Advisers Regulations (Rg 2) is chargeable upon successful submission of this notification, when applicable.

Signature : _____

Name : _____

Designation : _____

Date : _____

(dd/mm/yy)