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| <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 A PROVISIONAL REPRESENTATIVE UNDER SECTION 99E AND REGULATION 3A</p> | <p>FORM 3B</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 A PROVISIONAL REPRESENTATIVE UNDER SECTION 23D AND REGULATION 4A</p> | <p>FORM 3B</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 99E of the Securities and Futures Act (Cap 289) (“SFA”) and relevant Regulations or section 23D 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 a provisional 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), when applicable. 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the notification, please inform the Authority before 5pm on the day of submission, otherwise the form will need to be withdrawn and a new form re-submitted.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)*

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| |

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
- REIT 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**

Status with other Regulatory Bodies or Exchanges

The Principal confirms that the individual is currently or was previously licensed, authorised, or otherwise regulated by a foreign regulatory authority for a continuous period of not less than 12 months, and that the licence, authorisation or other form of regulation by the overseas regulator has not ceased for a period longer than 12 months.

Please note that only individuals from jurisdictions whose laws and practices are assessed by the Authority to be comparable to the requirements under Singapore's laws and practices may be successfully notified as provisional representatives.

Set out below the information on the individual's 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

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 |
|----------------|--|--------------------|----------------------------------|--|
| | | | | |

Step 3

Has the individual previously been appointed to carry on business in any regulated activity(ies) as a Provisional Representative under the Securities and Futures Act?

- Yes No

Has the individual previously been appointed to provide financial advisory service(s) as a Provisional Representative under the Financial Advisers Act?

- Yes No

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 Entry Requirements of a Provisional or Temporary Representative [Notice No. SFA-N10] issued by the Authority.

[Applicable only if FAA regulated activities are selected]

is satisfied that the individual meets all the requirements under the Notice on Entry Requirements of a Provisional Representative [Notice No. FAA-N12] 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 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 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.

Undertaking

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

- that the individual who is the subject of this notification has relocated / is in the process of relocating to Singapore.

In respect of all regulated activity(ies)/ financial advisory service(s) to be carried out by the Representative, undertakes:

- to put in place measures to properly supervise the activities and conduct of the representative, including measures to ensure that all obligations assumed and liabilities incurred by him are properly fulfilled, whether actual or contingent and howsoever arising, in relation to carrying out any regulated activity and/or provision of any financial advisory service;
- to put in place measures, including proper training, to ensure that the representative understands and complies with all Singapore laws that are relevant to the regulated activity carried out and/or financial advisory service provided by him;
- 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"] and/or paragraph (5) of regulation 4A of the Financial Adviser's Regulations (Rg 2) ["FAR"] when meeting any client or member of the public in the course of carrying on business in any regulated activity and/or providing any financial advisory service;
- 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 and/or paragraph (5) of regulation 4A of the FAR 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 and/or providing any financial advisory service;
- 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 and/or when and/or providing any financial advisory service, 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 and/or paragraph (5) of regulation 4A of the FAR.

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.

Completion of Examination Requirements

[Applicable only if SFA regulated activities are selected]

- is aware that the individual who is the subject of this notification must satisfy all examination 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] issued by the Authority within three months from the date of successful notification for a provisional representative; and

[Applicable only if FAA regulated activities are selected]

- is aware that the individual who is the subject of this notification must satisfy all examination 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 within three months from the date of successful notification for a provisional representative; and
- is aware that it must notify the Authority of the completion of the examination requirements within three months from the date of successful notification for a provisional representative, in order for the provisional representative to continue carrying out regulated activities/financial advisory services; and
- agrees that the Authority will cease the “Provisional” status of the provisional representative should the individual fail to satisfy the examination requirements and inform MAS within three months; and the Principal will ensure that the provisional representative ceases all regulated activity(ies)/ financial advisory service(s) immediately.

Signature : _____
 Name : _____
 Designation : _____
 Date : _____
 (dd/mm/yy)