

SECURITIES AND FUTURES ACT
(Cap. 289)

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

**NOTIFICATION FOR THE APPOINTMENT OF A
TEMPORARY REPRESENTATIVE UNDER SECTION
99F OF THE SECURITIES AND FUTURES ACT AND
REGULATION 3A OF THE SECURITIES AND
FUTURES (LICENSING AND CONDUCT OF
BUSINESS) REGULATIONS**

**FORM
3C**

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 99F of the Securities and Futures Act (Cap 289) ("SFA") and relevant Regulations, as well as relevant Notices and Guidelines issued under the SFA, have been satisfied.
2. This notification is to be submitted by an authorised person of the individual's principal.
3. Once the individual's name has been entered into the Monetary Authority of Singapore ("the Authority")'s Register of Representatives, the principal shall not be allowed to withdraw this form.
4. Under the SFA, a principal shall not permit any individual to provide any regulated activity on its behalf unless the individual is a temporary representative in respect of that type of regulated activity. Please indicate each regulated activity which the individual intends to conduct under the SFA.
5. Mandatory fields are denoted with asterisk "**".
6. A non-refundable lodgment fee is payable to the Authority for the lodgment of this form. The lodgment fee is as prescribed under regulation 6 of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) ("SF(LCB)R"). In respect of a principal who submits this form together with its corporate licence application, a fee advice and instructions in relation to the amount of and manner of payment for the lodgment fee, will be provided to the applicant upon the Authority's receipt of the corporate licence application.

General Information

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/activities under the SFA and/or provided financial advisory service/services under the FAA on or after 26/11/2010? *

Yes

No

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

Representative number

Name as reflected in NRIC/ FIN/ Passport*

Personal Information

Set out the personal particulars of the individual below:

Main email address*

Alternate email address

Mobile telephone no.*

Date of birth (DD/MM/YYYY)*

Gender*

Male

Female

Nationality type*

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 type is Others.)

FIN:

Passport number:

Proposed Activity/Activities

Please indicate the regulated activity/activities which the individual intends to conduct under the SFA.^{^*}

[^]Note: A Principal shall not permit any individual to provide any type of regulated activity under the SFA on its behalf unless the individual is appointed as a temporary representative in respect of that type of regulated activity.

Under the SFA

- Dealing in capital markets products that are:
 - Securities
 - Units in a collective investment scheme
 - Exchange-traded derivatives contracts
 - Over-the-counter derivatives contracts
 - Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading
- Fund management
- Real estate investment trust management
- Providing credit rating services
- Advising on corporate finance

Please indicate proposed date of commencement period of the individual's proposed appointment

From* To

Please note that the effective date of commencement of the appointment may not be the date indicated above. For the avoidance of doubt, please ensure that the name of the individual has been entered into the Register of Representatives and indicated as "Temporary" representative for the relevant regulated activity/activities, before commencing the regulated activity/activities.

Status with other Regulatory Bodies or Exchanges*

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 temporary representatives.

Set out details of the individual’s status in the past 2 years with –

(a) any regulatory authority in relation to the provision of any financial service in any overseas jurisdiction; or

(b) any overseas securities exchange(s).

Name of Regulatory Authority / Exchange	Status [Licensing, Registered, Approved, Others (please specify)]	Description of regulated activities	Principal corporation	Period (DD / MM / YYYY)	
				From	To

Please provide the reason(s) that the individual will need to be appointed on a temporary basis.

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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 Principal’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).

is satisfied that the individual meets all the requirements under the Entry Requirements of a Provisional or Temporary Representative [Notice No. SFA 04-N10] 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 [Guideline No. FSG-G01] issued by the Authority. The Principal undertakes to closely supervise and institute proper controls and systems to monitor the individual’s activity/activities.

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.

is satisfied that the individual meets all the other requirements under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority, except for the examination requirements.

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 (“CPF”) as are required under the Central Provident Fund (Self Employed Persons) Regulations (Rg 25), where applicable^.

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

Undertaking*

The Principal, in respect of all regulated activity/activities to be carried out by the individual, undertakes:

to put in place measures, including proper training, to ensure that the individual understands and complies with all Singapore laws that are relevant to the regulated activity/activities carried out by him / her;

to ensure that the individual is accompanied at all times by any of the persons referred to in paragraph (6) of regulation 3A of the SF(LCB)R when meeting any client or member of the public in the course of carrying on business in any regulated activity;

to ensure that the individual sends concurrently to any of the persons referred to in paragraph (6) of regulation 3A of the SF(LCB)R 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;

to ensure that the individual does not communicate by telephone with any client or member of the public in the course of carrying on business in any regulated activity, 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.

Declaration*

This notification is submitted on behalf of the Principal by [Name of Director / Chief Executive/ 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 Principal’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/activities; and
- b. the information contained in the above notification is to the best of the Principal’s knowledge and belief true and correct.

Please note that the Authority may refuse a notification submitted on behalf of an individual to carry on business in regulated activity/activities 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/activities.

Confirmation*

The Principal,

is aware that, pursuant to section 99O(1) of the SFA,

Any principal who, in connection with the lodgment 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.

confirms that the information submitted is true and correct.

is aware that a non-refundable lodgment fee as prescribed under regulation 6 of the SF(LCB)R is chargeable upon successful submission of this lodgment.

#Form 3Cs that have to be lodged with the Authority electronically do not have to be signed by its Director. However, in some exceptional cases, the Authority may allow or require the lodgment of Forms by other means, such as by personal delivery or pre-paid post, for example in cases where submission via electronic means is not possible. In such cases, a Director's signature is required.

Signature# : _____

Name : _____

Designation : _____

Date : _____

(DD/MM/YYYY)