

<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 TO ADD ACTIVITY/ACTIVITIES OF A REPRESENTATIVE UNDER SECTION 99L OF THE SECURITIES AND FUTURES ACT AND REGULATION 5 OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS</p>	<p style="text-align: center;">FORM 6</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 TO ADD FINANCIAL ADVISORY SERVICE/SERVICES OF A REPRESENTATIVE UNDER SECTION 23I OF THE FINANCIAL ADVISERS ACT AND REGULATION 10 OF THE FINANCIAL ADVISERS REGULATIONS</p>	<p style="text-align: center;">FORM 7</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 the Securities and Futures Act (Cap 289) (“SFA”) and relevant Regulations or Financial Advisers Act (Cap 110) (“FAA”) and relevant Regulations, as well as relevant Notices and Guidelines issued under the SFA and/or FAA, have been satisfied.
2. This notification is to be submitted by an authorised person of the individual’s Principal.
3. This notification shall also be submitted where an appointed representative adds (i) one or more types of capital markets products in respect of which the representative carries on business in the regulated activity of dealing in capital markets products under the SFA; or (ii) one or more types of investment products in respect of which the representative provides any financial advisory service under the FAA.
4. Mandatory fields are denoted with asterisk “*”.

General Information

Full name of company, henceforth referred to in the rest of the form as "The Principal". *

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Representative number*

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Name as reflected in NRIC/FIN/Passport*

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Existing Activities from the Register of Representatives	Date Issued

Proposed Activity/Activities

Please indicate the regulated activity/activities which the individual intends to conduct under the SFA and/or FAA *

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

Under the FAA

- Advising on investment products
 - Securities
 - Exchange-traded derivatives contracts
 - Over-the-counter derivatives contracts
 - Collective investment schemes

- Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading
- Spot foreign exchange contracts other than for the purposes of leveraged foreign exchange trading
- Life policies
- Structured deposits
- Issuing or promulgating analyses/reports on investment products
 - Securities
 - Exchange-traded derivatives contracts
 - Over-the-counter derivatives contracts
 - Collective investment schemes
 - Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading
 - Spot foreign exchange contracts other than for the purposes of leveraged foreign exchange trading
 - Life policies
 - Structured deposits
- Arranging of any contract of insurance in respect of life policies, other than a contract of reinsurance

Please indicate the proposed date of commencement (DD/MM/YY) for the individual's proposed appointment:

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 "Appointed" representative for the relevant regulated activity/activities, before commencing the regulated activity/activities.

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, directorship(s) and/or the individual's concurrent responsibilities in acting on behalf of more than one principal (where applicable).

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] issued by the Authority.

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 [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 activities.

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.

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*

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 or financial advisory service/services; 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 or provide financial advisory service/services 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 or provide financial advisory service/services.

Confirmation*

The Principal,

[Applicable only if any of the regulated activities under the SFA is selected]

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.

[Applicable only if any type of financial advisory services under the FAA is selected]

is aware that, pursuant to section 23L(1) of the FAA,
Any principal who, in connection with the lodgment 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.

#Forms 6 and 7 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)