Monetary Authority of Singapore

COMPLIANCE TOOLKIT FOR APPROVALS, NOTIFICATIONS AND OTHER REGULATORY SUBMISSIONS TO MAS UNDER THE SECURITIES AND FUTURES ACT (SFA)

For:

1. ***Holders of a Capital Markets Services (CMS) licence carrying on the following regulated activities:***
   (a) Dealing in capital markets products;
   (b) Advising on corporate finance;
   (c) Product financing;
   (d) Providing custodial services; and
   (e) Providing credit rating services
2. ***Banks, merchant banks, finance companies and insurers conducting regulated activities under the SFA; and***
3. ***Exempt futures brokers, exempt over-the-counter (OTC) derivatives brokers, and exempt corporate finance advisers.***

List of Instruments:	1. Securities and Futures Act 2001 (SFA)[1]. Specifically, the following parts of the SFA are included: • *Part IV Holders of CMS Licence (CMS Licensee) and Representatives* • *Part V Books, Customer Assets and Audit* • *Part IX Supervision and Investigation* 2. Securities and Futures (Licensing and Conduct of Business) Regulations (LCBR)[2] 3. Securities and Futures (Financial and Margin Requirements for Holders of Capital Markets Services Licences) Regulations (FMR)[3] 4. Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Related Corporations) Regulations 2021 (SF(ECBA)(FRC)R)[4] 5. Securities and Futures (Exemption for Cross-Border Arrangements) (Foreign Offices) Regulations 2021 (SF(ECBA)(FO)R)[5] 6. SFA04-N11 Notice on Reporting of Misconduct of Representatives by Holders of CMS Licence and Exempt Financial Institutions[6] 7. SFA04-N17 Notice on Requirements in relation to Cross-Border Arrangements under the SF(ECBA)(FRC)R[7] 8. SFA04-N18 Notice on Requirements in relation to Cross-Border Arrangements under the SF(ECBA)(FO)R[8] 9. Standard corporate licence conditions imposed on a CMS Licensee
Description of Document:	This Compliance Toolkit aims to provide guidance on: • Applications for approvals from MAS; • Notifications to be submitted to MAS; and • Other regulatory submissions to MAS (e.g. financial returns), which are applicable to: (i) CMS Licensees (other than those conducting the regulated activities of fund management and REIT management); (ii) Banks, merchant banks, finance companies and insurers conducting regulated activities under the SFA[9] (termed as "Exempt CMS entities" for the purpose of this document);

[1] https://sso.agc.gov.sg/Act/SFA2001
[2] https://sso.agc.gov.sg/SL/SFA2001-RG10
[3] https://sso.agc.gov.sg/SL/SFA2001-RG13
[4] https://sso.agc.gov.sg/SL/SFA2001-S760-2021
[5] https://sso.agc.gov.sg/SL/SFA2001-S759-2021
[6] https://www.mas.gov.sg/regulation/notices/notice-sfa-04-n11
[7] https://www.mas.gov.sg/regulation/notices/notice-sfa-04-n17
[8] https://www.mas.gov.sg/regulation/notices/notice-sfa-04-n18
[9] Banks, merchant banks, finance companies and insurers conducting regulated activities under the SFA are exempt from holding a CMS licence under section 99(1)(a), (b), (c) and (d) of the SFA respectively.

	(iii) Exempt futures brokers[10], exempt OTC derivatives brokers[11], and exempt corporate finance advisers[12]. While efforts have been made to ensure the accuracy of the toolkit, please note that it may not provide a fully exhaustive list of the approvals, notifications or other submissions required under the SFA or regulations or conditions issued under the SFA. In particular, this toolkit includes the common applications, notifications or other submissions made to MAS, and excludes approvals, notifications or other submissions which may be imposed by MAS bilaterally on financial institutions (FIs) due to the FI's specific circumstance. Notwithstanding this toolkit, FIs should familiarise themselves with all applicable regulatory requirements to ensure compliance.
Applicable to:	(a) CMS Licensees for the following regulated activities: • Dealing in capital markets products; • Advising on corporate finance; • Product financing; • Providing custodial services; and • Providing credit rating services (b) Entities exempted from holding a CMS licence such as: • Exempt CMS entities; • Exempt futures brokers; • Exempt OTC derivatives brokers; and • Exempt corporate finance advisers.
Mode of Submission:	Please refer to the relevant application, notification or other forms on the MAS website for instructions on submitting the forms. For submissions via FormSG and MAS-Tx, FIs should not encrypt any uploaded attachments. In general, financial returns submissions should either be made via MAS-Tx.

[10] Refers to persons exempt from holding a CMS licence to carry on business in capital markets products that are futures contracts under paragraph 3(1)(d) of the Second Schedule to the LCBR.
[11] Refers to persons exempt from holding a CMS licence to carry on business in capital markets products that are OTC derivatives contracts under paragraph 3A(1)(d) of the Second Schedule to the LCBR.
[12] Refers to persons providing corporate finance advisory services to accredited, expert, or institutional investors only, and exempt from holding a CMS licence under paragraph 7(1)(b) of the Second Schedule to the LCBR.

	FIs may login to MAS-Tx to see the due dates and obtain email reminders for regular returns; and to obtain copies of their submissions. FIs may also limit user access to a specific category of transactions only. Please refer to the column "MAS-Tx Category (Transaction Name)" to determine which category each transaction belongs to and the corresponding transaction name. You may refer to the user guide on MAS-Tx for further details on assigning user access.
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Section A: Applications, Notifications and Regulatory Submissions Applicable to <u>CMS Licensees</u>

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
Section A1: Applications for Approvals from MAS							
1	Application for a CMS licence to carry on business in any of the following regulated activities under the SFA: (a) Dealing in capital markets products; (b) Advising on corporate finance; (c) Product financing; (d) Providing custodial services; and (e) Providing credit rating services	**Form 1** - Application for a Capital Markets Services Licence (Other than for a Fund Management Company)	Entities that intend to carry on business in the following regulated activities under the SFA: (a) Dealing in capital markets products; (b) Advising on corporate finance; (c) Product financing; (d) Providing custodial services; and (e) Providing credit rating services	Prior to carrying on business in any regulated activity	Section 84(1) of the SFA	eLicensing	NA

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
2	Application to carry on business in additional regulated activities under a CMS licence	**Form 5** - Application for Additional Regulated Activity under a Capital Markets Services Licence	CMS Licensees	Prior to carrying on business in the additional regulated activity	Section 90(1) of the SFA and Regulation 11A of the LCBR	MAS-Tx	Entity Activities & Particulars (Add CMS Activity/Product - Form 5)
3	Application to carry on business in dealing in an additional type of capital markets products under a CMS licence	**Form 5** - Application for Additional Regulated Activity under a Capital Markets Services Licence	CMS Licensees	Prior to carrying on business in dealing in the additional type of capital markets products	Licence condition	MAS-Tx	Entity Activities & Particulars (Add CMS Activity/Product - Form 5)
4	Application for the appointment of a Chief Executive Officer (CEO) or director; or the change in the nature of director appointment from non-executive to executive	**Form 11** - Appointment of Chief Executive Officer or Director / Change of Director's Nature of Appointment from Non-Executive to Executive (For Capital Markets Services Licensees)	CMS Licensees	Prior to the appointment of CEO or director; or the change in the nature of director appointment	Section 96(1) of the SFA and Regulation 12 of the LCBR	MAS-Tx	Shareholders & Management (CEO/ED/NED Appointment - Form 11)
5	Application for obtaining effective control of a CMS Licensee	Application for Approval to obtain Effective Control of Holder of Capital	Any person that intends to obtain effective	Prior to obtaining effective control	Section 97A(2) of the SFA	MAS-Tx	Shareholders & Management

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		Markets Services Licence under Section 97A(2) of the SFA	control of a CMS Licensee	of a CMS Licensee			(Change in Controller 20% or more)
6	Application for any person obtaining effective control of a CMS Licensee as determined under section 97A(6) of the SFA	No prescribed form	CMS Licensees which are being acquired	Prior to the change in shareholders or shareholdings of a CMS Licensee	Licence condition	MAS-Tx	Shareholders & Management (Change in Controller 20% or more)
7	Application for a CMS Licensee to acquire or hold, whether directly or indirectly, an interest of 20% or more of the share capital of any corporation; or establish any branch (whether in Singapore or elsewhere)	No prescribed form	CMS Licensees which intend to acquire another entity or establish a branch	Prior to the CMS Licensee acquiring or gaining an interest of 20% or more of the share capital of any corporation, or establishing a branch	Licence condition	MAS-Tx	Entity Activities & Particulars For acquiring or gaining an interest of 20% or more of the share capital of any corporation: (Establish/Acquire/ Hold Major Stake in a Corporation) For establishing a branch: (Establish New Branch or Business Operations)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
8	Application to comply with a different base capital requirement when: (a) commencing or ceasing business in any regulated activity; or (b) changing the scope of business in a regulated activity	No prescribed form	CMS Licensees	Prior to (a) commencing or ceasing business in any regulated activity; or (b) changing the scope of the business in a regulated activity	Regulation 4(1A) of the FMR	MAS-Tx	Entity Activities & Particulars (Adjust Base Capital Requirements)
9	Application to reduce paid-up ordinary share capital or paid-up irredeemable and non-cumulative preference share capital	No prescribed form	CMS Licensees incorporated in Singapore	Prior to the reduction taking place	Regulation 20 of the FMR	MAS-Tx	Entity Activities & Particulars (Reduce Paid-up Capital)
10	Application to make unsecured loan or advance, pay dividend or director's fees or increase a director's remuneration under	No prescribed form	CMS Licensees dealing in capital markets products which are members of an approved exchange and/or approved clearing house	Prior to making the unsecured loan or advance, paying dividend or director's fees or increasing director's remuneration which could lead to the CMS	Regulation 23 of the FMR	MAS-Tx	Shareholders & Management (Director Benefits in Adverse Financial Position)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	certain prescribed circumstances[13]			Licensee breaching any of the prescribed circumstances			
11	Application to disclose inspection reports issued by MAS or a foreign regulatory authority to a person (other than the auditor of the CMS Licensee in connection with the performance of the auditor's duties)	No prescribed form	CMS Licensees which have received an inspection report	Prior to disclosing the inspection report	Sections 150A(2)(c) and 150C(2)(d) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
12	Application to disclose investigation reports issued by MAS to a person (other than the auditor of the CMS Licensee in connection	No prescribed form	CMS Licensees involved in MAS' investigation	Prior to disclosing the investigation report	Section 152A(2) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)

[13] In the case where the CMS Licensee is incorporated in Singapore: (i) the base capital of the CMS Licensee falls below its applicable base capital requirement; (ii) the CMS Licensee's financial resources is less than 120% of its total risk requirement; or (iii) where applicable, the CMS Licensee's aggregate indebtedness exceeds 600% of its aggregate resources. In the case where the CMS Licensee is a foreign company: (i) the net office funds of the CMS Licensee falls below its applicable base capital requirement; (ii) the CMS Licensee's adjusted net head office funds is less than 120% of its total risk requirement; and (iii) where applicable, the CMS Licensee's aggregate indebtedness exceeds 600% of its aggregate resources.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	with the performance of the auditor's duties)						
Section A2: Notifications to be Submitted to MAS							
13	Notification where a CMS Licensee: (a) has not commenced business in any or all regulated activities within 6 months from the date of the grant of the licence or such longer period as MAS may allow; (b) ceases to carry on business in any or all regulated activities; or (c) ceases to carry on business in dealing in capital markets products in respect of any type of capital markets product	**Form 7** – Notice of Cessation of Business	CMS Licensees	(a) Immediately after the end of the 6-month period or the period allowed by MAS (b) Within 14 days after the cessation of the activity (c) Within 14 days after the cessation of dealing in any type of capital markets product	(a) and (b) - Section 93(1) of the SFA and Regulation 11 of the LCBR (c) - Licence condition	MAS-Tx	Entity Activities & Particulars (Cessation (Form 7)/Non-Commencement of CMS Activity)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
14	Notification of a change of name or a change of principal place of business	**Form 10** - Notice for Change of Name and/or Change of Principal Place of Business	CMS Licensees	Within 14 days from the date of change	Section 93(1)(b) of the SFA	MAS-Tx	Entity Activities & Particulars (Change of CMSL Name/Place of Business - Form 10)
15	Notification of any matter where a CMS Licensee: (a) is or is likely to become insolvent; (b) is or is likely to become unable to meet its obligations; or (c) has suspended or is about to suspend payments	No prescribed form	CMS Licensees	Immediate	Section 97C(1) of the SFA	MAS-Tx	Incident & Breach Reporting (Material Adverse Change to Financial Position)
16	Notification of any changes of shareholders or the shareholdings of shareholders which will result in any person, alone or acting together with any connected person, being in a position to control less than 20% of the voting power in or hold	No prescribed form	CMS Licensees	Immediate	Licence condition	MAS-Tx	Shareholders & Management (Change in Controller <20%)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	interest in less than 20% of the issued shares of the CMS Licensee						
17	Notification of the execution of an agreement or transaction for the purchase, sale, merger or any other business combination of all or any part of the business in a regulated activity under the CMS licence	No prescribed form	CMS Licensees	7 days prior to the execution of the agreement or transaction	Licence condition	MAS-Tx	Entity Activities & Particulars (Purchase/Sale/Merger of Business)
18	Notification of (i) the resignation of CEO or any director; (ii) any change in the nature of appointment or country of residence of CEO or any director; and (ii) any change in the business interests or shareholdings of CEO or any director provided in Form 11	No prescribed form	CMS Licensees	Immediate	Licence condition	MAS-Tx	Shareholders & Management (Update CEO/Director Status or Business Interests)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
19	Notification when a CMS Licensee becomes aware: (a) of any development (including any development in relation to any associate of the CMS Licensee, or any other entity treated as part of the CMS Licensee's group of companies according to the accounting standards applicable to the CMS Licensee) that has occurred or is likely to occur which the CMS Licensee has reasonable grounds to believe has materially and adversely affected, or is likely to materially and adversely affect — (i) the financial soundness or	No prescribed form	CMS Licensees	Immediate	Regulation 11C of the LCBR	MAS-Tx	Incident & Breach Reporting (Adverse Developments)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	reputation of the CMS Licensee; or (ii) the CMS Licensee's ability to carry on business in any type of regulated activity to which its licence relates; (b) that the CMS Licensee's chief executive officer or director is, in accordance with the Guidelines on Fit and Proper Criteria, no longer fit and proper to hold that office or appointment; (c) that a substantial shareholder of the CMS Licensee or a person who has effective control of the CMS Licensee within the meaning						

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	of section 97A(6) of the SFA is, in accordance with the Guidelines on Fit and Proper Criteria, no longer fit and proper to be a substantial shareholder of the CMS Licensee or to have effective control of the CMS Licensee, as the case may be; (d) that the CMS Licensee is not likely to be able to conduct its business prudently or to comply with the provisions of the SFA and directions made thereunder, having regard to the likely influence over the holder of a substantial shareholder of the CMS Licensee or a person who has						

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	effective control of the CMS Licensee within the meaning of section 97A(6) of the SFA						
20	Notification of the inclusion the following items in the financial resources of a CMS Licensee – (a) the excess of allowable preference share capital[14] over base capital[15]; and (b) qualifying subordinated loans[16] A CMS Licensee is allowed to include items (a) and/or (b) in its financial resources[17] for a period not exceeding	No prescribed form	CMS Licensees	Immediate	Regulation 2A(4) of the FMR	MAS-Tx	Incident & Breach Reporting (Temp Inclusions in Financial Resources Computation)

[14] Refers to the sum of (i) paid up irredeemable and cumulative preference share capital and (ii) paid up redeemable preference share capital.
[15] As defined in Regulation 2 of the FMR.
[16] As defined in Regulation 2 of the FMR.
[17] As defined in Regulation 2 of the FMR.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	90 days in each calendar year						
21	Notification when the base capital or net head office funds[18] of a CMS Licensee falls or will fall below the prescribed amount	No prescribed form	CMS Licensees	Immediate	Regulation 4(2) of the FMR	MAS-Tx	Incident & Breach Reporting (Breach of Base Capital Requirement)
22	Notification when the financial resources or adjusted net head office[19] funds of a CMS Licensee fall or will fall below – (a) the total risk requirement[20]; or (b) 120% of the total risk requirement	No prescribed form	CMS Licensees	Immediate	Regulations 6(3) and 7(1) of the FMR	MAS-Tx	Incident & Breach Reporting (Breach of Total Risk Requirement)
23	Notification when the aggregate indebtedness exceeds or will exceed –	No prescribed form	CMS Licensees which are members of an approved exchange	Immediate	Regulations 16(2) and 17(1) of the FMR	MAS-Tx	Incident & Breach Reporting (Aggregate Indebtedness &

[18] As defined in Regulation 2 of the FMR.
[19] As defined in Regulation 2 of the FMR.
[20] As defined in Regulation 2 of the FMR.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	(a) 1,200% of the aggregate resources; or (b) 600% of the aggregate resources		and/or approved clearing house				Under-Margined Accounts)
24	Notification for matters relating to preference shares on – (a) issuing any preference share; and (b) repaying the principal of any preference share (other than any paid-up irredeemable and non-cumulative preference share) that is included as part of the CMS licensee's financial resources	No prescribed form	CMS Licensees which are incorporated in Singapore	(a) Prior to the issue of the preference share (b) 3 months before the proposed date of repurchase or redemption of the preference share	Regulation 21(1) and (2 of the FMR	MAS-Tx	Entity Activities & Particulars (Preference Shares Issuance & Repayment)
25	Notification for matters relating to qualifying subordinated loan on – (a) the draw down of a qualifying	No prescribed form	CMS Licensees	(a) Prior to the drawdown (b) For early repayment,	Regulation 22(1) and (2) of the FMR	MAS-Tx	Entity Activities & Particulars (Qualifying Subordinated Loans

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	subordinated loan; and (b) the repayment, whether in part or in full, of any subordinated loan principal before the maturity date set out in the subordination loan agreement			prior to the repayment; for repayment of a matured loan, at least one business day before the repayment			Drawdown & Repayment)
26	Notification when any account of a customer is under-margined by an amount which exceeds the aggregate resources[21] of the CMS Licensee	No prescribed form	CMS Licensees	Immediate	Regulation 25(1) of the FMR	MAS-Tx	Incident & Breach Reporting (Aggregate Indebtedness & Under-Margined Accounts)
27	Notification of cross-border arrangements with Foreign Related Corporations or Foreign Offices under the following Exemption Regulations: - SF(ECBA)(FRC)R	**Form FN** – Notification for Arrangements with Foreign Related Corporations and/or Foreign Offices under the Exemption Regulations	CMS Licensees	Within 14 days of commencement of qualifying business under the Exemption Regulations	Regulations 4(2) and 5(1) of the SF(ECBA)(FRC)R and Regulations 7(2) and 8(2) of the SF(ECBA)(FO)R	MAS-Tx	Entity Activities & Particulars (Commencement of Cross Border Arrangements - Form FN)

[21] As defined in Regulation 2 of the FMR.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	- SF(ECBA)(FO)R						
28	Notification of change in particulars to/cessation of cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FC –** Notification for Change in Particulars to Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	CMS Licensees	Within 14 days from date of change/cessation	Paragraphs 5.3.1 (a) and (b) of SFA04-N17 and Paragraphs 5.3.1 (a) and (b) of SFA04-N18	MAS-Tx	Entity Activities & Particulars (Updates to Cross-Border Arrangements - Form FC)
29	Notification upon the discovery of a system malfunction or IT security incident, which has a severe and widespread impact on the CMS Licensee's operations or materially impacts the CMS Licensee's service to its customers, through the respective MAS Review Officer (RO) during the MAS office hours or a phone call to the MAS Duty Officer (DO) via the 24-hour MAS BCM	Please refer to the Circular on Financial Institution Incident Reporting (https://www.mas.gov.sg/regulation/circulars/circular-on-financial-institution-incident-reporting) for further information	CMS Licensees	As soon as possible, but not later than 1 hour, upon the discovery of a relevant incident	Section 29(1) of the FSM Act (Notice FSM-N21)	Call / Email	NA

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	incident reporting line (Tel: 6229 9526 / 6229 9527) outside office hours or if the MAS RO is not contactable						
30	Submission of a root cause and impact analysis report of a system malfunction or IT security incident, which has a severe and widespread impact on the CMS Licensee's operations or materially impacts the CMS Licensee's service to its customers The report shall contain— (a) an executive summary of the relevant incident; (b) an analysis of the root cause which triggered the relevant incident; (c) a description of the impact of the relevant	Incident Reporting Template (https://www.mas.gov.sg/-/media/mas/regulations-and-financial-stability/regulatory-and-supervisory-framework/risk-management/trs-circulars/fi-incident-reporting-template-v1.xlsx) Please refer to the Circular on Financial Institution Incident Reporting (https://www.mas.gov.sg/regulation/circulars/circular-on-financial-institution-incident-reporting)	CMS Licensees	Submit initial incident report as soon as possible, but not later than 24 hours from the discovery of the relevant incident Submit final incident report within 14 days from the discovery of the relevant incident	Section 29(1) of the FSM Act (Notice FSM-N21)	MAS-Tx	Incident & Breach Reporting (FI Incident Reporting)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	incident on the CMS Licensee's — (i) compliance with laws and regulations applicable to the FI; (ii) operations; and (iii) service to its customers; and (d) a description of the remedial measures taken to address the root cause and consequences of the relevant incident	for further information					
Section A3: Regulatory Submissions to MAS[22]							
31	A statement of assets and liabilities on a quarterly and annual basis	**Form 1** - Statement of Assets and Liabilities	CMS Licensees, other than those carrying on the activity of providing credit rating services	• For quarterly returns, within 14 days from the end of each quarter; • For annual returns, within 5	Regulation 27(1)(a) and 9(b) of the FMR	MAS-Tx	Regular Data Returns For quarterly returns: (SFA Quarterly Return - Forms 1&2) For annual returns: (SFA Annual Returns - Forms 1-4)

[22] CMS Licensees who are members of the Singapore Exchange Limited (SGX) are not required to lodge separate forms for quarterly returns through MAS-Tx. MAS will receive member companies' quarterly submissions from the SGX. Please note that annual returns from member companies shall be lodged electronically with MAS.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
				months from the end of the financial year			
32	A statement of financial resources, total risk requirement and aggregate indebtedness on a quarterly and annual basis	**Form 2** - Statement of Financial Resources, Total Risk Requirement and Aggregate Indebtedness	CMS Licensees other than those carrying on the activity of providing credit rating services	• For quarterly returns, within 14 days from the end of each quarter; • For annual returns, within 5 months from the end of the financial year	Regulation 27(1)(a) and 9(b) of the FMR	MAS-Tx	Regular Data Returns For quarterly returns: (SFA Quarterly Return - Forms 1&2) For annual returns: (SFA Annual Returns - Forms 1-4)
33	Information on base capital	No prescribed form	CMS Licensees carrying on the activity of providing credit rating services	Within 14 days from the end of each quarter	Licence condition	MAS-Tx	Regular Data Returns (Information on Base Capital)
34	A statement relating to the profit and loss accounts	**Form 3** - Statement related to the Accounts of a Holder	CMS Licensees	Within 5 months from the end of the financial year	Regulation 27(9)(a) of the FMR	MAS-Tx	Regular Data Returns (SFA Annual Returns - Forms 1-4)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		of a Capital Markets Services Licence					
35	Supplementary financial information	**Form 4** - Statement relating to the Accounts of a Holder of a Capital Markets Services Licence – Supplementary Information	CMS Licensees	Within 5 months from the end of the financial year	Regulation 27(9)(a) of the FMR	MAS-Tx	Regular Data Returns (SFA Annual Returns - Forms 1-4)
36	An auditor's report on the adequacy of internal controls and regulatory compliance	**Form 5** - Auditor's Report - For a Holder of a Capital Markets Services Licence	CMS Licensees	Within 5 months from the end of the financial year	Regulation 27(8) of the FMR	MAS-Tx	Regular Data Returns (Auditor's Report/Audited FS - Forms 5&6)
37	An auditor's certification on the audited financial statements and the audited financial statements	**Form 6** - Auditor's Certification - For a Holder of a Capital Markets Services Licence	CMS Licensees	Within 5 months from the end of the financial year	Regulation 27(9) of the FMR	MAS-Tx	Regular Data Returns (Auditor's Report/Audited FS - Forms 5&6)
38	Information on margin exposures to approved exchanges	**Form 7** - Statement of Aggregate Margin Exposure to Single Approved Exchange	CMS Licensees carrying on business in product financing	Within 14 days from the end of each quarter	Regulation 27(5) of the FMR	MAS-Tx	Regular Data Returns (Margin Exposures - Forms 7-9)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
39	Information on exposures to margin customers	**Form 8** - Statement of Exposure to Margin Customers	CMS Licensees carrying on business in product financing	Within 14 days from the end of each quarter	Regulation 27(5) of the FMR	MAS-Tx	Regular Data Returns (Margin Exposures - Forms 7-9)
40	Information on exposures to margined products	**Form 9** - Statement of Exposure to Margined Single Specified Product	CMS Licensees carrying on business in product financing	Within 14 days from the end of each quarter	Regulation 27(5) of the FMR	MAS-Tx	Regular Data Returns (Margin Exposures - Forms 7-9)
41	Certification by independent assurance function and information on cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FR –** Annual Declaration for Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	CMS Licensees	Within 5 months from the end of the financial year	Paragraph 5.3.1 (c) of SFA04-N17 and Paragraph 5.3.1 (c) of SFA04-N18	MAS-Tx	Regular Data Returns (Cross-Border Arrangements Annual Declaration - Form FR)

Section B: Applications, Notifications and Regulatory Submissions Applicable to <u>Exempt CMS Entities</u>

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
Section B1: Applications for Approvals from MAS							
42	Application to disclose inspection reports issued by MAS or a foreign regulatory authority to a person (other than the auditor of the entity in connection with the performance of the auditor's duties)	No prescribed form	Exempt CMS Entities	Prior to disclosing the inspection report	Sections 150A(2)(c) and 150C(2)(d) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
43	Application to disclose investigation reports issued by MAS to a person (other than the auditor of the entity in connection with the performance of the auditor's duties)	No prescribed form	Exempt CMS Entities involved in MAS' investigation	Prior to disclosing the investigation report	Section 152A(2)(c) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
Section B2: Notifications to be Submitted to MAS							

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
44	Notification of commencement of business in – (a) any regulated activity; or (b) the regulated activity of dealing in capital markets products in respect of any type of capital markets products	**Form 26** - Notice of Commencement of Business / Additional Regulated Activities by a Person Exempted from Holding a Capital Markets Services Licence under section 99(1)(a), (b), (c) and (d)	Exempt CMS Entities	• At least 14 days before the commencement of business	Regulation 14(4)(a) of the LCBR	MAS-Tx	Entity Activities & Particulars (Add CMS Activity - Form 26)
45	Notification of a change of particulars	**Form 27** – Change of Particulars by a Person Exempted from Holding a Capital Markets Services Licence under section 99(1)(a), (b), (c) and (d)	Exempt CMS Entities	Within 14 days from the date of change	Regulation 14(4)(c) of the LCBR	MAS-Tx	Entity Activities & Particulars (Change of Exempt CMS Particulars - Form 27)
46	Notification of cessation of business in – (a) any regulated activity; or (b) the regulated activity of dealing in capital markets	**Form 29 –** Notice of Cessation of Business/Any Regulated Activity by a Person Exempted from Holding a Capital Markets	Exempt CMS Entities	Within 14 days from the cessation	Regulation 14(4)(b) of the LCBR	MAS-Tx	Entity Activities & Particulars (Cessation of CMS Activity - Form 29)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	products in respect of any type of capital markets products	Services Licence under section 99(1)(a), (b), (c) and (d)					
47	Notification of cross-border arrangements with Foreign Related Corporations or Foreign Offices under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FN** – Notification for Arrangements with Foreign Related Corporations and/or Foreign Offices under the Exemption Regulations	Exempt CMS Entities	Within 14 days of commencement of qualifying business under the Exemption Regulations	Regulations 4(2) and 5(1) of the SF(ECBA)(FRC)R and Regulations 4(2) and 5(3) of the SF(ECBA)(FO)R	MAS-Tx	Entity Activities & Particulars (Commencement of Cross Border Arrangements - Form FN)
48	Notification of change in particulars to/cessation of cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FC –** Notification for Change in Particulars to Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	Exempt CMS Entities	Within 14 days from date of change/ cessation	Paragraphs 5.3.1 (a) and (b) of SFA04-N17 and Paragraphs 5.3.1 (a) and (b) of SFA04-N18	MAS-Tx	Entity Activities & Particulars (Updates to Cross-Border Arrangements - Form FC)
Section B3: Regulatory Submissions to MAS							

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
49	Information on the business unit involved and the type of clientele for each regulated activity	**Form 28** - Declaration by a Person Exempted from Holding a Capital Markets Services Licence under section 99(1)(a), (b), (c) and (d)	Exempt CMS Entities	Within 14 days from the end of the financial year	Regulation 14(4)(d) of the LCBR	MAS-Tx	Regular Data Returns (CMS Business Handled - Form 28)
50	Certification by independent assurance function and information on cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FR –** Annual Declaration for Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	Exempt CMS Entities	Within 5 months from the end of the financial year	Paragraph 5.3.1 (c) of SFA04-N17 and Paragraph 5.3.1 (c) of SFA04-N18	MAS-Tx	Regular Data Returns (Cross-Border Arrangements Annual Declaration - Form FR)

Section C: Applications, Notifications and Regulatory Submissions Applicable to <u>Exempt Futures Brokers and Exempt OTC Derivatives Brokers</u>

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
Section C1: Applications for Approvals from MAS							
51	Application to disclose inspection reports issued by MAS or a foreign regulatory authority to a person (other than the auditor of the broker in connection with the performance of the auditor's duties)	No prescribed form	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Prior to disclosing the inspection report	Sections 150A(2)(c) and 150C(2)(d) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
52	Application to disclose investigation reports issued by MAS to a person (other than the auditor of the broker in connection with the performance of the auditor's duties)	No prescribed form	Exempt Futures Broker or Exempt OTC Derivatives Broker subject to MAS' investigation	Prior to disclosing the investigation report	Section 152A(2)(c) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
Section C2: Notifications to be Submitted to MAS							
53	Notification of commencement of business in dealing in	**Form 30** – Notice of Commencement Lodged Pursuant to	• Exempt Futures Brokers	At least 14 days before the	Paragraphs 3(4)(c)(i)/(ii) and 3A(4)(c)(i)/(ii) of	https://go.gov.sg/noticeofcom	NA

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
	futures contracts or OTC derivatives contracts	Paragraph 3(4)(c) and/or 3A(4)(c) of the Second Schedule to the Regulations by Persons Exempted from Holding a Capital Markets Services Licence to Carry on Business in Capital Markets Products that are Futures Contracts and/or Over-the-Counter Derivatives Contracts under Paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the Regulations	• Exempt OTC Derivatives Brokers	commencement of business	the Second Schedule to the LCBR	mencementofbusiness-form30	
54	Notification of a change in particulars	**Form 31** – Notice of Change in Particulars Lodged Pursuant to Paragraph 3(X) and/or 3(Y) of the Second Schedule to the Regulations by Persons Exempted from Holding a Capital Markets	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 14 days from the date of change	Paragraphs 3(4)(c)(iii) and 3A(4)(c)(iii) of the Second Schedule to the LCBR	https://form.gov.sg/6360da06f4ad04001110aa3d	Entity Activities & Particulars (Update Exempt Broker's Status/Particulars - Form 31)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		Services Licence to Carry on Business in Capital Markets Products that are Futures Contracts and/or Over-the-Counter Derivatives Contracts under Paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the Regulations					
55	Notification of cessation of business in dealing in futures contracts or OTC derivatives contract	**Form 32** – Notice of Cessation of Business Lodged Pursuant to Paragraph 3(4)(c) and/or 3A(4)(c) of the Second Schedule to the Regulations by Persons Exempted from Holding a Capital Markets Services Licence to Carry on Business in Capital Markets Products that are Futures Contracts and/or Over-the-	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 14 days from the cessation of business	Paragraphs 3(4)(c)(iv) and 3A(4)(c)(v) of the Second Schedule to the LCBR	https://form.gov.sg/6360db2a113c4300121fcf2b	Entity Activities & Particulars (Cessation of Broker Activity - Form 32)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		Counter Derivatives Contracts under Paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the Regulations					
56	Notification if the broker - (a) no longer meets any of the requirements to be exempted from licensing[23]; (b) is not able to pay its debts in full as they fall due; or (c) the broker's assets are less than its liabilities	No prescribed form	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Immediate	Paragraphs 3(4)(d) and 3A(4)(d) of the Second Schedule to the LCBR	MAS-Tx	Incident & Breach Reporting (Breach of Licence Exemption Conditions)
57	Notification of cross-border arrangements with Foreign Related Corporations or Foreign Offices under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FN** – Notification for Arrangements with Foreign Related Corporations and/or Foreign Offices under the Exemption Regulations	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 14 days of commencement of qualifying business under the Exemption Regulations	Regulations 4(2) of the SF(ECBA)(FRC)R and Regulations 4(2) of the SF(ECBA)(FO)R	MAS-Tx	Entity Activities & Particulars (Commencement of Cross Border Arrangements - Form FN)

[23] As set out in paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the LCBR.

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
58	Notification of change in particulars to/cessation of cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FC –** Notification for Change in Particulars to Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 14 days from date of change/ cessation	Paragraphs 5.3.1 (a) and (b) of SFA04-N17 and Paragraphs 5.3.1 (a) and (b) of SFA04-N18	MAS-Tx	Entity Activities & Particulars (Updates to Cross-Border Arrangements - Form FC)
Section C3: Regulatory Submissions to MAS							
59	Confirmation of compliance with exemption conditions and restrictions	**Form 33** – Annual Declaration Lodged Pursuant to Paragraph 3(X) and/or 3(Y) of the Second Schedule to the Regulations by Persons Exempted from Holding a Capital Markets Services Licence to Carry on Business in Capital Markets Products that are Futures Contracts and/or Over-the-Counter Derivatives	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 14 days from the end of the financial year	Paragraphs 3(4)(c)(v) and 3A(4)(c)(v) of the Second Schedule to the LCBR	https://form.gov.sg/6360e0f553aba20011d94cc2	Regular Data Returns (Exempt CMS Annual Compliance Declaration - Form 33)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		Contracts under Paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the Regulations					
60	An auditor's certification on the broker's financial standing and regulatory compliance	**Form 34** – Auditor's Report for Persons Exempted from Holding a Capital Markets Services Licence to Carry on Business in Capital Markets Products that are Futures Contracts and/or Over-the-Counter Derivatives Contracts under Paragraph 3(1)(d) and/or 3A(1)(d) of the Second Schedule to the Regulations	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 5 months from the end of the financial year	Regulations 3(4)(e)(ii) and 3A(4)(e)(ii) of the Second Schedule to the LCBR	https://form.gov.sg/63573498c8a90f0012c6efd9	Regular Data Returns (Auditor's Report for Exempt CMS - Form 34)
61	A statement of profit and loss and balance-sheet made up to the last day of the financial year	No prescribed form	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 5 months from the end of the financial year	Regulations 3(4)(e)(i) and 3A(4)(e)(i) of the Second Schedule to the LCBR	https://form.gov.sg/63573498c8a90f0012c6efd9	Regular Data Returns (Auditor's Report for Exempt CMS - Form 34)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
62	Certification by independent assurance function and information on cross-border arrangements notified under the following Exemption Regulations: - SF(ECBA)(FRC)R - SF(ECBA)(FO)R	**Form FR –** Annual Declaration for Arrangements with Foreign Related Corporations and/or Foreign Offices notified under the Exemption Regulations	• Exempt Futures Brokers • Exempt OTC Derivatives Brokers	Within 5 months from the end of the financial year	Paragraph 5.3.1 (c) of SFA04-N17 and Paragraph 5.3.1 (c) of SFA04-N18	MAS-Tx	Regular Data Returns (Cross-Border Arrangements Annual Declaration - Form FR)

Section D: Applications, Notifications and Regulatory Submissions Applicable to <u>Exempt Corporate Finance Advisers</u>

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
Section D1: Applications for Approvals from MAS							
63	Application to disclose inspection reports issued by MAS or a foreign regulatory authority to a person (other than the auditor of the adviser in connection with the performance of the auditor's duties)	No prescribed form	Exempt Corporate Finance Advisers	Prior to disclosing the inspection report	Sections 150A(2)(c) and 150C(2)(d) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
64	Application to disclose investigation reports issued by MAS to a person (other than the auditor of the adviser in connection with the performance of the auditor's duties)	No prescribed form	Exempt Corporate Finance Advisers involved in MAS' investigation	Prior to disclosing the investigation report	Section 152A(2)(c) of the SFA	MAS-Tx	Incident & Breach Reporting (Disclosure of Inspection/Investigation Report)
Section D2: Notifications to be Submitted to MAS							
65	Notification of commencement of business as an exempt corporate finance adviser	**Form 22** - Notice of Commencement of Business by Person Exempted from Holding Capital	Exempt Corporate Finance Advisers	Within 14 days from the commencement of business	Paragraph 7(6)(a) of the Second Schedule to the LCBR	https://go.gov.sg/noticeofcommencementofbusiness-form22-ecf	NA

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		Markets Services Licence to carry on Business in Advising on Corporate Finance under Paragraph 7(1)(b) of the Second Schedule to the Regulations					
66	Notification of a change of particulars	**Form 23** - Notice of Change of Particulars by Person Exempted from Holding Capital Markets Services Licence to carry on Business in Advising on Corporate Finance under Paragraph 7(1)(b) of the Second Schedule to the Regulations	Exempt Corporate Finance Advisers	Within 14 days from the date of change	Paragraph 7(6)(b) of the Second Schedule to the LCBR	MAS-Tx	Entity Activities & Particulars (Change of Exempt Corporate Finance Adviser's Particulars - Form 23)
67	Notification of cessation of business	**Form 24** - Notice of Cessation of Business by Persons Exempted from Holding Capital Markets Services Licence to carry on Business in Advising	Exempt Corporate Finance Advisers	Within 14 days from the cessation of business	Paragraph 7(6)(c) of the Second Schedule to the LCBR	MAS-Tx	Entity Activities & Particulars (Cessation of Corporate Finance Activity - Form 24)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category (Transaction Name)
		on Corporate Finance under Paragraph 7(1)(b) of the Second Schedule to the Regulations					
Section D3: Regulatory Submissions to MAS							
68	Confirmation of compliance with exemption conditions and restrictions	**Form 25** - Declaration by Person Exempted from Holding Capital Markets Services Licence to carry on Business in Advising on Corporate Finance under Paragraph 7(1)(b) of the Second Schedule to the Regulations	Exempt Corporate Finance Advisers	Within 14 days from the end of the financial year	Paragraph 7(6)(d) of the Second Schedule to the LCBR	MAS-Tx	Regular Data Returns (Exempt CFA Annual Compliance Declaration - Form 25)

Section E: Notifications Applicable to CMS Licensees and Exempt CMS Entities in Relation to their Representatives

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
69	Notification of the appointment of an appointed representative	**Form 3A** - Notification for Appointment of an Appointed Representative	• CMS Licensees • Exempt CMS Entities	Prior to the appointment of the appointed representative	Sections 99D of the SFA and Regulation 3A of the LCBR	MAS-Tx	Staff & Reps (Appointment of Rep - Form 3A)
70	Notification of the appointment of a provisional representative	**Form 3B** - Notification for Appointment of a Provisional Representative	• CMS Licensees • Exempt CMS Entities	Prior to the appointment of the provisional representative	Sections 99E of the SFA and Regulation 3A of the LCBR	MAS-Tx	Staff & Reps (Appointment of Provisional Rep - Form 3B)
71	Notification of the appointment of a temporary representative	**Form 3C** - Notification for Appointment of a Temporary Representative	• CMS Licensees • Exempt CMS Entities	Prior to the appointment of the temporary representative	Sections 99F of the SFA and Regulation 3A of the LCBR	MAS-Tx	Staff & Reps (Appointment of Temporary Representative - Form 3C)
72	Notification of the completion of examination requirements by a provisional representative	**Form 3D** - Notification of the Completion of Examination Requirements by	• CMS Licensees • Exempt CMS Entities	Prior to the expiry of the period specified against the provisional	Section 99E(5) of the SFA and Regulation 3B(2) of the LCBR	MAS-Tx	Staff & Reps (Provisional Representative Exam Completion - Form 3D)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
		a Provisional Representative		representative's name in the public register of representatives			
73	Notification when an individual -- (a) who is an appointed representative has not commenced to act as a representative in at least one of the regulated activities within 6 months from the date that his name was entered in the public register of representatives; (b) who has ceased to be a representative in respect of all	**Form 8** - Notification for the Cessation of a Representative in any or all the Regulated Activities	• CMS Licensees • Exempt CMS Entities	(a) Immediately after the end of the 6-month period; (b) Immediately after the end of a continuous period of one month from the date of cessation; and (c) The next business day after the cessation	Sections 99D(8), 99E(4) and 99F(4) of the SFA; and Regulation 11B, of the LCBR	MAS-Tx	Staff & Reps (Cessation/Non-Commencement of Rep - Form 8/10)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
	regulated activities he was appointed to carry out and has not resumed acting as such a representative in respect of any of those regulated activities for a continuous period of one month from the date of cessation; or (c) who has ceased to be a representative in respect of any regulated activity which he was appointed to carry on						
74	To notify MAS of a change to a	**Form 16** - Notification to Change	• CMS Licensees • Exempt CMS Entities	Within 14 days of the	Section 99H(5) of the SFA and Regulation 5 of the LCBR	MAS-Tx	Staff & Reps (Change of Representative

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
	representative's particulars	Particulars for a Representative		date of change			Particulars - Form 16/18)
75	To notify MAS of the addition of regulated activities for an appointed representative	**Form 6** - Notification to Add Activity/Activities of a Representative	• CMS Licensees • Exempt CMS Entities	Prior to the representative carrying out the additional regulated activity	Section 99L of the SFA and Regulation 5 of the LCBR	MAS-Tx	Staff & Reps (Add Representative Activity/Product - Form 6/7)
76	To notify MAS of the addition of a type of capital markets products for an appointed representative	**Form 6** – Notification to Add Activity/ Activities of a Representative	• CMS Licensees • Exempt CMS Entities	Prior to the representative dealing in the additional type of capital markets products	Regulation 14(4)(e) of the LCBR and CMS licence condition	MAS-Tx	Staff & Reps (Add Representative Activity/Product - Form 6/7)
77	To report to MAS the following types of misconduct committed by the representatives: (a) acts involving fraud, dishonesty or	(a) Report on Misconduct of Representative (b) Update Report (for cases where investigations and/or	• CMS Licensees • Exempt CMS Entities	(a) Within 14 days upon discovery of the misconduct (b) When there is any significant	Paragraphs 4 to 8 of the Notice SFA04-N11	MAS-Tx	Incident & Breach Reporting (Representative/Broking Staff Misconduct Reporting)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
	other offences of a similar nature; (b) acts relating to market conduct provisions under part XII of the SFA; (c) failure to satisfy the Guidelines on Fit and Proper Criteria; (d) non-compliance with any regulatory requirement relating to the provision of any regulated activity under the SFA; (e) a serious breach of the CMS Licensee's internal policy or code of conduct	disciplinary actions are pending)		development in the case			
78	To submit an annual declaration that there was no Misconduct Report for the preceding calendar year	Declaration of Nil Return of Misconduct of Representatives	• CMS Licensees • Exempt CMS Entities	Within 14 days after calendar year end	Paragraph 9 of the Notice SFA04-N11	MAS-Tx	Incident & Breach Reporting (Declaration of No Misconduct)

S/N	Requirement	Form to be Submitted	Applies to	Regulatory Deadline	Legislative Reference	Mode of Submission	MAS-Tx Category
	This applies to entities that have not submitted any Misconduct Report in the preceding calendar year						