

SECURITIES AND FUTURES ACT 2001 SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10) NOTIFICATION FOR THE APPOINTMENT OF AN APPOINTED REPRESENTATIVE UNDER SECTION 99D OF THE SECURITIES AND FUTURES ACT AND REGULATION 3A OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS	FORM 3A
FINANCIAL ADVISERS ACT 2001 FINANCIAL ADVISERS REGULATIONS (Rg 2) NOTIFICATION FOR THE APPOINTMENT OF AN APPOINTED REPRESENTATIVE UNDER SECTION 23C OF THE FINANCIAL ADVISERS ACT AND REGULATION 4A OF THE FINANCIAL ADVISERS REGULATIONS	FORM 3A

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the form. This form should be completed after ensuring that the criteria listed in section 99D of the Securities and Futures Act 2001 ("SFA") and relevant Regulations and/or section 23C of the Financial Advisers Act 2001 ("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. Once the individual's name has been entered into the Monetary Authority of Singapore's ("the Authority") Public Register of Representatives as an appointed representative, the principal shall not be allowed to withdraw this form.
4. Under the SFA and FAA, a principal shall not permit any individual to provide any regulated activity / financial advisory service on its behalf unless the individual is an appointed representative in respect of that type of regulated activity / financial advisory service. Please indicate each regulated activity and / or financial advisory service which the individual intends to conduct under the SFA and / or FAA.
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") and regulation 6 of the Financial Advisers Regulations (Rg 2) ("FAR"), as the case may be. In respect of a principal who submits this form together with its corporate licence application, payment 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 *	
State the individual's relationship with the Principal *	☐ Employee ☐ Self-employed

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 *					
Country of citizenship (for non-Singapore citizens)					
NRIC number (Compulsory for Singapore Citizen or Singapore PR)					
For non-Singapore citizens / non-permanent residents, provide (Compulsory for non-Singaporean) ¹	<table border="1"><tr><td>FIN (if applicable)</td><td></td></tr><tr><td>Passport number</td><td></td></tr></table>	FIN (if applicable)		Passport number	
FIN (if applicable)					
Passport number					

¹Note : FIN, once available, must be provided if Nationality is Others.

Proposed Activity/Activities

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

[^]Note: A principal shall not permit any individual to provide any type of regulated activity under the SFA and / or financial advisory service under the FAA on its behalf unless the individual is an appointed representative in respect of that type of regulated activity and / or financial advisory service.

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/YYYY) for the individual's proposed appointment:

^Note: 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 Public Register of Representatives and indicated as "Appointed" representative for the relevant regulated activity/activities, before commencing the regulated activity/activities.

Overseas-based Representatives

Will the individual be based overseas?*

☐ Yes ☐ No

If the answer to the above question is 'Yes', please provide the reason(s) that the individual needs to be based overseas.

Representatives Acting on Behalf of More than One Principal

Under section 99J of the SFA and 23G of the FAA, an appointed representative may be a representative of more than one principal if the principals are related corporations.

Will the individual be acting on behalf of more than one principal?*

☐ Yes ☐ No

^Note: There will be 2 versions of the following question depending on the medium of lodgment to MAS.

For notifications not lodged via MASNET

^Note: For notifications not lodged via MASNET, the submitter will have to manually provide the name of the other principal.

If the answer to the above question is 'Yes', please fill in the details below.

Name of other principal(s)	
Are the other principals(s) related corporations of the Principal as defined in the section 4(1) of the Companies Act?	☐ Yes ☐ No

For notifications lodged via MASNET

^Note: For notifications lodged via MASNET, the name of the principals will be auto-populated in the empty fields below by the system upon submission. Where there are more than 2 principals, the names of all the principals will be populated in the statement. E.g. If there are 3 principals, the question will be "If the answer to the above question is 'Yes' are "name of principal 1", "name of principal 2" and "name of principal 3" related corporations as defined in section 4(1) of the Companies Act?"

If the answer to the above question is 'Yes', are and

related corporations as defined in section 4(1) of the Companies 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 directorship(s) and/or the individual's concurrent responsibilities in acting on behalf of more than one principal (where applicable).

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

☐ is satisfied that the individual meets all the requirements under the Notice on Competency Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N22].

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

☐ is satisfied that the individual meets all the requirements under the Notice on Competency Requirements for Representatives of Financial Advisers [Notice No. FAA-N26] 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 activity/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.

☐ 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), where applicable.^

^The above declaration is mandatory for all individuals 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.

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/service; 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.

☐

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

#Form 3As 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)