

<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;"><b>NOTIFICATION FOR THE CESSATION OF A REPRESENTATIVE IN ANY OR ALL OF THE REGULATED ACTIVITIES UNDER SECTIONS 99D(8), 99E(4) AND 99F(4) OF THE SECURITIES AND FUTURES ACT, AND REGULATION 11B OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS</b></p>	<p style="text-align: center;">FORM <b>8</b></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;"><b>NOTIFICATION FOR THE CESSATION OF A REPRESENTATIVE IN ANY OR ALL OF THE FINANCIAL ADVISORY SERVICES UNDER SECTION 23C(8) AND 23D(4) OF THE FINANCIAL ADVISERS ACT, AND REGULATION 12A OF THE FINANCIAL ADVISERS REGULATIONS</b></p>	<p style="text-align: center;">FORM <b>10</b></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 ceases (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".\*

Representative number\*

Name as in NRIC/ FIN/ Passport\*

Please indicate the type of regulated activity/activities to be ceased.\*

- The representative would cease to act as a representative in respect of all regulated activities/ financial advisory services for which he is notified to conduct.
- The representative would cease to act as a representative for the following activity/activities / service/services:

**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 effective date of cessation\*:  (DD/MM/YYYY)

Please indicate the reason(s) for the cessation of the representative's appointment.\*  
You may choose more than one option.

**Under the SFA**

- Criminal conviction or civil settlement for acts involving fraud, dishonesty or other offences of a similar nature
- Resigned while under investigation, or terminated, for serious misconduct that has material impact on the interest of the client, or which impinges on the fitness and propriety of the representative
- Breach(es) of internal policies

- Resigned while under investigation, or terminated, for other possible violations involving unethical conduct or financial misconduct (not covered in the reasons stated above)
- Failure to meet requirements on financial soundness (e.g. undischarged bankrupt)
- Failure to meet training and competency requirements
- Voluntary resignation (please select this only if all other options are not applicable)
- Others (please specify below:)

Free-text field

(e.g Due to changes in the representative's role or functions, he/she is no longer performing the regulated activity/activities)

**Under the FAA**

- Criminal conviction or civil settlement for acts involving fraud, dishonesty or other offences of a similar nature
- Resigned while under investigation, or terminated, for serious misconduct that has material impact on the interest of the client, or which impinges on the fitness and propriety of the representative
- Breach(es) of internal policies
- Resigned while under investigation, or terminated, for other possible violations involving unethical conduct or financial misconduct (not covered in the reasons stated above)
- Failure to meet requirements on financial soundness (e.g. undischarged bankrupt)
- Failure to maintain persistency standards
- Failure to meet training and competency requirements
- Failure to meet sales quota
- Voluntary resignation (please select this only if all other options are not applicable)
- Others (please specify below:)

Free-text field

(e.g Due to changes in the representative's role or functions, he/she is no longer performing the regulated activity/activities)

**Declaration\***

This notification is submitted on behalf of the Principal by  [Name of Director/ Chief Executive / Chief Executive Officer] who certifies that the information contained in the above notification is to the best of the Principal's knowledge and belief true and correct.

**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 8 and 10 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)