

<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 FOR THE APPOINTMENT OF A PROVISIONAL REPRESENTATIVE UNDER SECTION 99E OF THE SECURITIES AND FUTURES ACT AND REGULATION 3A OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS</p>	<p>FORM 3B</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 FOR THE APPOINTMENT OF A PROVISIONAL REPRESENTATIVE UNDER SECTION 23D OF THE FINANCIAL ADVISERS ACT AND REGULATION 4A OF THE FINANCIAL ADVISERS REGULATIONS</p>	<p>FORM 3B</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 section 99E of the Securities and Futures Act (Cap 289) ("SFA") and relevant Regulations or section 23D of the 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. Once the individual's name has been entered into the Monetary Authority of Singapore's ("the Authority") Register of Representatives as a provisional representative, the principal shall not be allowed to withdraw this form.
4. Mandatory fields are denoted with asterisk "*".
5. A non-refundable lodgment fee is payable to the Authority for the lodgment of this form. The lodgment fee is 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, 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*

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*

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 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 appointed as a provisional 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:

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 "Provisional" 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) the individual will be based overseas.

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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 provisional 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 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

Has the individual previously been appointed to carry on business in any regulated activity/activities as a Provisional Representative under the SFA*?

Yes

No

Has the individual previously been appointed to provide financial advisory service/services as a Provisional Representative under the FAA*?

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 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).

[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 Entry Requirements of a Provisional or Temporary Representative [Notice No. SFA 04-N10] issued by the Authority.

[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 Entry Requirements of a Provisional Representative [Notice No. FAA-N12] issued by the Authority.

is satisfied that that the individual is currently or was previously licensed, authorised, or otherwise regulated by a foreign regulatory authority for a continuous period of not less than 12 months, and that the licence, authorisation or other form of regulation by the overseas regulator has not ceased for a period longer than 12 months.

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, except for the examination requirements.

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.

Undertaking*

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

that the individual who is the subject of this notification has relocated/is in the process of relocating to Singapore.

In respect of all regulated activity/activities/ financial advisory service/services to be carried out by the individual, undertakes:

to put in place measures to properly supervise the activities and conduct of the individual, including measures to ensure that all obligations assumed and liabilities incurred by him are properly fulfilled, whether actual or contingent and howsoever arising, in relation to carrying out any regulated activity and/or provision of any financial advisory service;

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 carried out and/or financial advisory service provided by him;

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 and/or paragraph (5) of regulation 4A of the FAR when meeting any client or member of the public in the course of carrying on business in any regulated activity and/or providing any financial advisory service;

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 and/or paragraph (5) of regulation 4A of the FAR 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 and/or providing any financial advisory service;

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 and/or when providing any financial advisory service, 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 and/or paragraph (5) of regulation 4A of the FAR.

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]

<p><input type="checkbox"/> 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 -</p> <p>(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,</p> <p>shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$50,000.</p>

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

<p><input type="checkbox"/> is aware that, pursuant to section 23L(1) of the FAA,</p> <p>Any principal who, in connection with the lodgment of any document under section 23F of the FAA -</p> <p>(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,</p> <p>shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$50,000.</p>
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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.

Completion of Examination Requirements*

The Principal,

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

is aware that the individual who is the subject of this notification must satisfy all examination 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 within three months from the date of successful notification for a provisional representative; and

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

is aware that the individual who is the subject of this notification must satisfy all examination 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 within three months from the date of successful notification for a provisional representative; and

is aware that it must notify the Authority of the completion of the examination requirements within three months from the date of successful notification for a provisional representative, in order for the provisional representative to continue carrying out regulated activities/financial advisory services; and

agrees that the Authority will cease the "Provisional" status of the provisional representative should the individual fail to satisfy the examination requirements and inform MAS within three months; and the Principal will ensure that the provisional representative ceases all regulated activity/activities and/or financial advisory service/services immediately.

#Form 3Bs 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)