

FINANCIAL ADVISERS ACT
 (Cap. 110)
FINANCIAL ADVISERS REGULATIONS
 (Rg 2)
STATEMENT OF PROFIT AND LOSS
UNDER SECTION 45(1)

FORM

14

Name of licensed financial adviser: _____

Statement for the financial year: _____ to _____
 (dd/mm/yy) (dd/mm/yy)

REVENUE	S\$
Fees, brokerage and commission from:	
a) advising others, either directly or through publications or writings, and whether in electronic, print or other form, concerning investment products, other than advising others by issuing or promulgating research analyses or research reports or advising on corporate finance within the meaning of the Securities and Futures Act (Cap. 289)	
b) advising others by issuing or promulgating research analyses or research reports, whether in electronic, print or other form, concerning investment products	
c) marketing of collective investment schemes	
d) arranging of contracts of insurance in respect of life policies, other than a contract of reinsurance	
Interest income	
Dividend income	
Other income	
<i>Total Revenue</i>	
EXPENSES	S\$
Bad debts written off	
Provision for bad and doubtful debts	
Interest expense	
Directors' remuneration	
Staff salaries and related expenses (excluding directors' remuneration)	

Other expenses	
<i>Total Expenses</i>	
Net Profit before Tax	
Taxation	
Profit after tax but before extraordinary items	
Extraordinary items (net of tax)	
Unappropriated profits or accumulated losses brought forward from previous financial year	

STATEMENT BY LICENSED FINANCIAL ADVISER

This statement is submitted on behalf of (Name of the licensee) by (Name of Director/Chief Executive Officer*), who certifies that:

- (a) the above statement has, to the best of his knowledge and belief, been drawn up to comply with the requirements of the Financial Advisers Act (Cap. 110) and the requirements as may be prescribed or specified by the Authority; and
- (b) the information contained in the above statement is to the best of his knowledge and belief true and correct.

Dated this (dd/mm/yy): _____

Notes to Form 14

The following shall be stated as notes to this Form:

Note 1 Details of the following items:

- (a) Other income; and
- (b) Other expenses.

(state also the amounts applicable to each of the above items)

Instructions for completion of Form 14

- (1) All amounts shown in this Form are to be rounded up to the nearest dollar. Negative amounts shall be preceded by “-”.
- (2) Where there is an asterisk (*), please delete whichever is inapplicable.