

CERTIFICATE AND DECLARATION BY THE CORPORATION

Certificate to the Authority:

- ☐ On the basis of due and diligent enquiry made on the background of the appointee named in this form and other information available, we are satisfied that he/she is a fit and proper person, based on the criteria stated in the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01], to perform the functions and duties of a director/ chief executive officer.
- ☐ In relation to competency, we are satisfied that the appointee fulfils the minimum relevant experience criteria as set out in the FAQs on Financial Advisers Act, Financial Advisers Regulations, Notices and Guidelines.

The appointee for CEO should have at least 10 years of relevant experience, of which 5 years is in managerial capacity.

The appointee for director should have at least 5 years of relevant experience, of which 3 years is in managerial capacity.

We declare that:

- ☐ We are aware that section 114(2), (4), (6) and (8) of the Act provides as follows:

(2) ANY PERSON, OTHER THAN AN INDIVIDUAL, WHO PROVIDES THE AUTHORITY WITH ANY INFORMATION UNDER THIS ACT OR RELEVANT TO THE AUTHORITY'S EXERCISE OF POWERS UNDER THIS ACT MUST USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING.

(4) SUBSECTION (2) APPLIES ONLY IF NO OTHER PROVISION OF THIS ACT MAKES IT AN OFFENCE TO DO THE ACT MENTIONED IN THAT SUBSECTION.

(6) ANY PERSON, OTHER THAN AN INDIVIDUAL, WHO —

(A) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR

(B) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO THE PERSON BY THE AUTHORITY,

MUST USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING.

(8) ANY PERSON WHO CONTRAVENES SUBSECTION (2) OR (6) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION —

(A) IF THE INFORMATION OR DOCUMENT IS FALSE OR MISLEADING IN A MATERIAL PARTICULAR — TO A FINE NOT EXCEEDING \$25,000; OR

(B) IN ANY OTHER CASE — TO A FINE NOT EXCEEDING \$12,500.

Signature : _____

Name : _____

Designation : _____

Date : _____
(DD/MM/YYYY)