

<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 OF THE COMPLETION OF EXAMINATION REQUIREMENTS BY A PROVISIONAL REP UNDER SECTION 99E(5) OF THE SECURITIES AND FUTURES ACT AND REGULATION 3B(2) OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS</b></p>	<p>FORM <b>3D</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 OF THE COMPLETION OF EXAMINATION REQUIREMENTS BY A PROVISIONAL REPRESENTATIVE UNDER SECTION 23D(5) OF THE FINANCIAL ADVISERS ACT AND REGULATION 4B(2) OF THE FINANCIAL ADVISERS REGULATIONS</b></p>	<p>FORM <b>3D</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. 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 reflected in NRIC/ FIN/ Passport \*

Please note:

Provisional status should be valid for 3 months only. After 3 months, if no notification of completion of examination requirements is received from the Principal, the provisional status will automatically be ceased, and the system would not allow the Principal to convert the inactive representative to an active representative via the mentioned notification.

Where the provisional representative is notified for more than one activity, and the Principal does not notify the Authority of the completion of the examinations for all the activities in this notification, the provisional status would cease in respect of those activities not notified.

**SFA Activities**

- The provisional representative has completed all examination requirements relevant to the regulated activities conducted by him as set out in this notification, as specified in 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.

<b>Regulated Activities under the SFA (Please tick activity to notify completion of examination)</b>
<input type="checkbox"/> Dealing in capital markets products that are: <ul style="list-style-type: none"><li><input type="checkbox"/> Securities</li><li><input type="checkbox"/> Units in a collective investment scheme</li><li><input type="checkbox"/> Exchange-traded derivatives contracts</li><li><input type="checkbox"/> Over-the-counter derivatives contracts</li><li><input type="checkbox"/> Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading</li></ul>
<input type="checkbox"/> Fund management
<input type="checkbox"/> Real estate investment trust management

<input type="checkbox"/> Providing credit rating services
<input type="checkbox"/> Advising on corporate finance

**FAA Activities**

- The provisional representative has completed all examination requirements relevant to the regulated activities conducted by him as set out in this notification, as specified in 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.

<b>Type of financial advisory services under the FAA (Please tick activity to notify completion of examination)</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Advising on investment products <ul style="list-style-type: none"> <li><input type="checkbox"/> Securities</li> <li><input type="checkbox"/> Exchange-traded derivatives contracts</li> <li><input type="checkbox"/> Over-the-counter derivatives contracts</li> <li><input type="checkbox"/> Collective investment schemes</li> <li><input type="checkbox"/> Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading</li> <li><input type="checkbox"/> Spot foreign exchange contracts other than for the purposes of leveraged foreign exchange trading</li> <li><input type="checkbox"/> Life policies</li> <li><input type="checkbox"/> Structured deposits</li> </ul> </li> </ul>

<input type="checkbox"/> Issuing or promulgating analyses/reports on investment products <ul style="list-style-type: none"> <li><input type="checkbox"/> Securities</li> <li><input type="checkbox"/> Exchange-traded derivatives contracts</li> <li><input type="checkbox"/> Over-the-counter derivatives contracts</li> <li><input type="checkbox"/> Collective investment schemes</li> <li><input type="checkbox"/> Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading</li> <li><input type="checkbox"/> Spot foreign exchange contracts other than for the purposes of leveraged foreign exchange trading</li> <li><input type="checkbox"/> Life policies</li> <li><input type="checkbox"/> Structured deposits</li> </ul>
<input type="checkbox"/> Arranging of any contract of insurance in respect of life policies, other than a contract of reinsurance

**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).

**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.

**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 the representative conducts any of the regulated activities under the SFA]

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 the representative conducts any type of financial advisory services under the FAA]

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 this form can only be submitted once. For examinations which were not indicated as having been completed by the provisional representative in this one-time notification to the Authority, the representative is required to cease the conduct of regulated activities relevant to those examinations.

#Form 3Ds 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)