

<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 TO CHANGE PARTICULARS FOR A REPRESENTATIVE UNDER SECTION 99H(5) OF THE SECURITIES AND FUTURES ACT AND REGULATION 5 OF THE SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS</p>	<p>FORM 16</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 TO CHANGE PARTICULARS FOR A REPRESENTATIVE UNDER SECTION 23F(5) OF THE FINANCIAL ADVISERS ACT AND REGULATION 10 OF THE FINANCIAL ADVISERS REGULATIONS</p>	<p>FORM 18</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 *

Representative’s Relationship with the Principal

Check this to change Representative’s relationship with the Principal.

Effective from

(DD/MM/YYYY)

State the representative’s relationship with the Principal.

Employee

Self-employed

Identification and Other Particulars

Check this to change Representative’s Identification and/or Other Particulars.

Effective from

(DD/MM/YYYY)

Name as reflected in NRIC/FIN/ passport	
Main email address	
Alternate email address	
Mobile telephone no.	
Date of birth (DD/MM/YYYY)	
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality type (*)	<input type="checkbox"/> Singapore Citizen <input type="checkbox"/> Singapore PR. Please specify country <input type="checkbox"/> Others. Please specify country
NRIC number	

Foreign identification number (FIN) (*) or	
Passport number (*)	
Will the individual be based overseas? (Please note that this section is applicable to appointed representatives only)	<input type="checkbox"/> Yes <input type="checkbox"/> No If the answer to the above question is 'Yes', please provide the reason(s) that the individual needs to be based overseas.

(*): FIN, once available, must be provided if Nationality type is Others.

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 there is no conflict of interest, arising from the individual's shareholdings, directorship(s), and/or the individual's concurrent responsibilities in acting on behalf of more than one principal (where applicable).
- 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 individual 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.

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.

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 16 and 18 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)