

Date of Commencement: _____

Lodgement Code: _____

APPLICATION FORM FOR NEW INTRODUCER (INDIVIDUAL)

1. All questions must be answered. If a question is not applicable, please mark "N.A." in the space provided.
2. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatory in this application.

Required Documents

Please enclose the following documents with this application:-

- a) Application pack is valid for 3 months from the date the application form is signed
- b) Certified True Copy NRIC or Passport & Proof of Address
- c) Bank Account Statement (within last 3 months)
- d) Proof of employment (e.g. Latest 6 months CPF Contributions statement or latest 3 months payslips, or latest 1 month employment acknowledgment letter (signed & stamped) from employer).

SECTION A: To be completed by the Introducer

Introducer's Particulars

Name as in NRIC / Passport:
(please underline surname)

Preferred Name:

NRIC / Passport No.:

Gender: ☐ Male ☐ Female

Date of Birth:
(DD/MM/YYYY)

Nationality:

☐ Singapore Citizen ☐ Singapore Permanent Resident ☐ Others

For Singapore Permanent Resident & Others, please state:

Nationality: _____

Residential Address as in NRIC / Passport: _____

Postal Code: _____ (Please do not use PO Box Address)

Contact number : _____ (H) _____ (Mobile)

Email address : _____

Employment Details

Current Occupation:

Designation:

Name of Current Employer:

Employer's Address:

Employer's Nature of Business:

Payment Details

Please state your personal Bank Account details for Direct Crediting of Commission to be earned from the introducing activity/ies.
(POSB/DBS account is preferred)

Name of Payee: _____ **Account Number:** _____

Name of Bank: _____ **Branch Code:** _____

General Information			
		YES	NO
1	Have you ever carry out introducing activities in the past or is currently carrying out introducing activities? If yes, which company/ies have you engaged with? _____	<input type="checkbox"/>	<input type="checkbox"/>
2	Is carrying out introducing activities your full-time occupation?	<input type="checkbox"/>	<input type="checkbox"/>
3	Will you be based overseas? If yes, please state the country _____	<input type="checkbox"/>	<input type="checkbox"/>
4	Have you ever executed a deed poll, whether in Singapore or elsewhere? (If yes, please provide a copy of the deed poll)	<input type="checkbox"/>	<input type="checkbox"/>
5	Do you or any of your connected persons* hold any directorship/ sole proprietorship/ partnership/ other business interests in any entity in Singapore or elsewhere which has business activities with PIAS? If Yes, please specify the name of entities: _____	<input type="checkbox"/>	<input type="checkbox"/>
6	Do you or any of your connected persons have any shareholdings where 1% or more of the shareholdings are held by them in any entity in Singapore or elsewhere which has business activities with PIAS? If Yes, please specify the name of entities: _____	<input type="checkbox"/>	<input type="checkbox"/>
7	Do you or any of your connected persons currently engaged in any gainful employment (e.g. Contracting, Freelance, Consultancy work, Political position or Second job) which has business activities with PIAS?	<input type="checkbox"/>	<input type="checkbox"/>
* Connected persons – Spouse, civil partner, any person who lives with the director / employee as a partner in an enduring relationship (excluding grandparents, grandchildren, sister, brother, aunt, uncle, niece or nephew), children and stepchildren of any age, director's / employees' parents and children or step children of a person who lives with the director under the age of 18.			
Fit and Proper Criteria			
If the answer to any of the following questions is in the affirmative, please attach annexes and supporting documents, where appropriate, to provide all relevant details.			
Please complete the Sections below by furnishing information for the <u>past 10 years</u> .			
A. Honesty, Integrity and Reputation		YES	NO
1	Have you been licensed, registered or approved under any law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity per prescribed by Monetary Authority of Singapore? If yes, please provide the details and RNF number (if relevant): _____	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, have you been refused the right or restricted in your right in relation to any regulated activity under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
2	Have you been issued a prohibition order under any law in any jurisdiction or have you been prohibited from operating in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
3	Have you been a shareholder of any corporation which holds membership of any class or description of any operator of a market or clearing facility in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
4	Have you been the subject of any complaint made reasonably and in good faith, relating to any activities under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
5	Have you ever been reported to the MAS pursuant to Financial Advisers Act (FAA) Notice on Reporting of Misconduct of Representatives by Financial Advisers, or equivalent provisions under Securities & Futures Act (SFA), or any other Financial Services, Securities, Insurance or Banking Regulations?	<input type="checkbox"/>	<input type="checkbox"/>
6	Have you been reported and/or issued Letter of Suspension/Warning/Advice by your current or former employer(s) due to any misconducts or offences?	<input type="checkbox"/>	<input type="checkbox"/>
7	Have you been the subject of any proceedings of a disciplinary or criminal nature or have you been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
8	Have you been convicted of any offence or are you being subject to any pending proceedings which may lead to such a conviction, under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>

9	Have you had any judgment (in particular that associated with a finding of fraud, misrepresentation or dishonesty) entered against you in any civil proceedings or a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
10	Have you accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
11	Have you had any civil penalty enforcement action taken against you by any regulatory authority under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
12	Have you contravened or abetted another party in breach of any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
		YES	NO
13	Have you been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
14	Have you been refused a fidelity or surety bond, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
15	Have you demonstrated an unwillingness to comply with any regulatory requirement or to uphold any professional and ethical standards, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
16	Have you been untruthful, provided false or misleading information or been uncooperative in any dealings with any regulatory authority in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
17	Are you or have you been a director, partner, substantial shareholder or concerned in the management of a business that has been censured, disciplined, prosecuted or convicted of a criminal offence, or been the subject of any disciplinary or criminal investigation or proceeding, in Singapore or elsewhere, in relation to any matter that took place while you were a director, partner, substantial shareholder or concerned in the management of the business?	<input type="checkbox"/>	<input type="checkbox"/>
18	Are you or have you been a director, partner, substantial shareholder or concerned in the management of a business that has been suspended or refused membership or registration by any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
19	Have you been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, you were a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
20	Have you been dismissed or asked to resign from office, employment, a position of trust or a fiduciary appointment or similar position, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
21	Are you or have you been subject to disciplinary proceedings by your current or former employer(s), whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
22	Have you been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
23	Have you been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to you, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
24	Are you carrying on business in, or are you acting as a representative in respect of, providing credit rating services?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, are you or have you been in observance of the Code of Conduct for Credit Rating Agencies.	<input type="checkbox"/>	<input type="checkbox"/>
B. Financial Soundness		YES	NO
25	Are you or have you been unable to fulfil any of your financial obligations, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
26	Have you been placed under the Debt Repayment Scheme (DRS), entered into a compromise or scheme of arrangement with your creditors or made an assignment for the benefit of your creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
27	Are you subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>

28	Are you or have you been the subject of a bankruptcy petition, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
29	Have you been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere	<input type="checkbox"/>	<input type="checkbox"/>
31	Are you or have you been a subject to any other process outside Singapore that is similar to those referred to in Questions 28 to 30?	<input type="checkbox"/>	<input type="checkbox"/>

Additional Information

If the answer to any of the above questions is in the affirmative, please provide more information below and supporting documents, if any.

Authorisation and Declaration

IMPORTANT:

1. I declare that the information given in this application and in the attached annexes (if any) are true and correct. I understand that any misrepresentation or omission of facts will be sufficient cause to render my application void.
2. I understand that this application is subject to the acceptance and approval of PIAS, in which PIAS has the right to reject my application at their sole discretion without citing any reason.
3. I hereby give consent to PIAS for processing, collecting, using and disclosing my personal data to Permitted Parties (as defined in PIAS' Personal Data Notice and Consent Policy) for the purpose of:
 - i. managing my introducer engagement and/or working relationship with PIAS (including payment of commission);
 - ii. forming part of PIAS' records as to the business carried on by PIAS;
 - iii. observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which PIAS is subject to);
 - iv. carrying out due diligence, monitoring or other screening activities in accordance with PIAS' legal or regulatory obligations or risk management procedures.

Declaration

I undertake that the above declarations made are true and accurate.

(Name and Signature of Introducer / Date)

[illegible]