

Date of Commencement: _____

Lodgement Code: _____

APPLICATION FORM FOR NEW INTRODUCER (CORPORATE)

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) ACRA BizFile (within last 3 months)
- b) Company's Bank Account Details (within last 3 months)
- c) Authorised Director and liaison personnel's (Certified True Copy) NRIC or Passport & Proof of Address

SECTION A: To be completed by the Introducer

Introducer's Particulars

Name of Company:

Company Registration Number:

Country of Incorporation:

Company Registered Address:
(Please do not use PO Box Address)

Nature of Business:

Contact Number:

Authorised Liaison Personnel's Particulars

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

NRIC / Passport No.:

Designation:

Email Address:

Contact No:

Payment Details

Please state the Company's 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 your company ever carry out introducing activities in the past or is currently carrying out introducing activities? If yes, which company/ies have your company engaged with? _____	<input type="checkbox"/>	<input type="checkbox"/>
2	Is carrying out introducing activities your company sole business activity?	<input type="checkbox"/>	<input type="checkbox"/>

3	Will the company be based overseas? If yes, please state the country _____	<input type="checkbox"/>	<input type="checkbox"/>
4	Have your company ever executed a change of name, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
5	Does any of your company's directors or their connected persons ¹ 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	Does any of your company's directors or their 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	Does any of your company's directors or their 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"/>
8	<p>Name of Beneficial Owner (s):</p> <p>1) Name: _____</p> <p>Identification No. _____ Nationality : _____</p> <p>Country of Residence: _____ Designation : _____</p> <p>Country of Tax Residence : _____</p> <p>2) Name: _____</p> <p>Identification No. _____ Nationality : _____</p> <p>Country of Residence: _____ Designation : _____</p> <p>Country of Tax Residence : _____</p> <p>3) Name: _____</p> <p>Identification No. _____ Nationality : _____</p> <p>Country of Residence: _____ Designation : _____</p> <p>Country of Tax Residence : _____</p> <p>4) Name: _____</p> <p>Identification No. _____ Nationality : _____</p> <p>Country of Residence: _____ Designation : _____</p> <p>Country of Tax Residence : _____</p> <p>Please provide a copy of NRIC/Passport of the Beneficial Owner(s).</p> <p>Beneficial Owners are individuals that either:</p> <ul style="list-style-type: none"> - own or control more than 25% of the shares or voting rights of the company; or - otherwise own or control the company <p><i>In respect of a trust or similar arrangement, the beneficial owners include:</i></p> <ul style="list-style-type: none"> - <i>the settlor</i> - <i>the trustees;</i> - <i>the beneficiaries; and</i> - <i>any individual who controls the trust</i> 		

9	Does the Beneficial Owner interact with Public Officials to obtain or retain business or a business advantage (for or on behalf of PIAS)? (e.g. a third party may be used to negotiate a regulatory approval for a new business line)	<input type="checkbox"/>	<input type="checkbox"/>

¹ 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 your company 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: _____	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, have your company 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 your company been issued a prohibition order under any law in any jurisdiction or have your company been prohibited from operating in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
3	Have your company 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 your company 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 your company been the subject of any proceedings of a disciplinary or criminal nature or have your company 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"/>
6	Have your company been convicted of any offence or are your company 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"/>
7	Have your company had any judgment (in particular that associated with a finding of fraud, misrepresentation or dishonesty) entered against your company 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"/>
8	Have your company accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>

9	Have your company 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"/>
10	Have your company 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"/>
11	Have your company 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"/>
12	Have your company been refused a fidelity or surety bond, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
13	Have your company 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"/>
14	Have your company 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"/>
15	Are your company or have your company been a 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 your company was a partner, substantial shareholder or concerned in the management of the business?	<input type="checkbox"/>	<input type="checkbox"/>
16	Are your company or have your company been a 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"/>
17	Have your company been a 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, your company was a partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
B. Financial Soundness		YES	NO
18	Is your company or any of your directors/shareholders been unable to fulfil any financial obligations, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
19	Have the company 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"/>
20	Is the company 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"/>
21	Is or has the company been the subject of a winding up petition, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
22	Is the company in the course of being wound-up or otherwise dissolved, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
23	Is or has the company been a corporation where a receiver, receiver and manager, judicial manager, or such other person having the power and duties of a receiver, receiver and manager, or judicial manager has been appointed, in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
24	Is or has the company been a subject to any other process outside Singapore that is similar to those referred to in Questions 21 to 23?	<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.

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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	
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As an authorised personnel, I undertake that the above declarations made on behalf of the Corporate Introducer "Company" are true and accurate.	
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	(Name and Signature of Authorised Personnel / Date)
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SECTION B: To be completed by the Representative

Representative's Assessment

Name of Representative: _____	Date of interview: _____
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Basis of recommendations in engaging the Introducer:

Representative's Details

Name of Representative: _____ (PIAS Rep Code _____)

NRIC No.: _____ Contact No.: _____

Branch: _____

Commission Split: Representative: _____ % Introducer: _____ %

Important to Note

Acknowledgement

Name				
	Representative	BDM	Head of BD	AMU
Signature				
Date				