

APPEALS FORM

Please read these instructions carefully:

1. All appeals must be submitted to Risk Management & Compliance ("RM&C") department **within 7 calendar days** from the date of issuance of the disciplinary action(s) or the receipt of BSC Audit report from RM&C.
2. **Appeals will be only accepted if the following criteria are fulfilled:**
 - a) **new evidence or evidence not otherwise considered during the investigation is being submitted; and**
 - b) **the appeal is endorsed by both the T3 Supervisor and Chief Distribution Officer.**
3. FAR will receive a written acknowledgement within 2 business days.
4. Appeal sent in to RM&C after 7 calendar days will not be entertained.
5. This form must be signed and submitted by the affected FAR.
6. The Appeals Form and any supporting documents submitted will be forwarded to the Chief Distribution Officer for endorsement.
7. Upon endorsement, the Appeals Form and any supporting documents submitted will be forwarded to the respective Appeals Committee ("AC") for their consideration.
8. For any appeals that are frivolous in nature, the respective AC reserves the right to increase the disciplinary action originally meted out.
9. The Appeal hearing may be held by one of the following modes: face-to-face meeting, online meeting, or email.
10. If the Appeal hearing is held via a meeting, the FAR
 - a) will be invited to the Appeal hearing and self-represent the case to the AC;
 - b) will have no more than 10 minutes to state the reason of their appeal;
 - c) may get a Business Development staff or Supervisor to accompany him/her to the Appeal hearing.
11. The Appeal may be heard by either the PIAS Appeals Committee or Singlife Group Appeals Committee as follow:

Appeals Committee	Type of Appeal
Disciplinary and Appeals Committee ("DAC"), i.e., PIAS Appeals Committee	Less serious market misconduct cases/ penalty on substantiated market conduct outcome for: <ul style="list-style-type: none"> • Letter of Warning arising from market conduct investigation • BSC grading of B and below (i.e., B or worse)[#] • Demotion • Ban from Awards/Incentives
Group Management Appeals Committee ("GMAC"), i.e., Singlife Group Appeals Committee	Serious market misconduct cases/ penalty on substantiated market conduct outcome for: <ul style="list-style-type: none"> • Letter of Suspension • Letter/Notice of Termination

[#] No appeals for infraction that does not affect the BSC grading, i.e., appeal is not allowed if BSC grading is A.

1. Particulars of Financial Adviser Representatives ["FAR"]				
Name of FAR				
PIAS Rep Code				
RNF Date				
Designation				
Contact Number				
Branch Name				
Name of Supervisor				

2. Appeal For						
<input type="checkbox"/> BSC Grading						
BSC Quarter						
BSC Grade Accorded <i>Tick as applicable</i>	Rep:	<input type="checkbox"/> Grade B	<input type="checkbox"/> Grade C	<input type="checkbox"/> Grade D	<input type="checkbox"/> Grade E	<input type="checkbox"/> NA
	Sup:	<input type="checkbox"/> Satisfactory	<input type="checkbox"/> Fair	<input type="checkbox"/> Unsatisfactory	<input type="checkbox"/> NA	
Transaction Details <i>Please state Client name, Product name (main plan) and Transaction date.</i>	1.					
	2.					
	3.					
	4.					
	5.					
<input type="checkbox"/> Other Market Misconduct Cases/ Penalty						
Disciplinary Letter <i>Tick as applicable</i>	<input type="checkbox"/> Letter of Warning <input type="checkbox"/> Letter of Suspension <input type="checkbox"/> Notice of Termination					
Others <i>Please specify the details</i>						

3. Grounds for Appeal

Details on the ground(s) of appeal

Please state the new evidence or details of evidence not considered during BSC review/investigation and how the details could impact the assessment. Where new evidence is provided, you are to state the reason for not providing the evidence during the BSC review/investigation.

If you need more space to explain your situation, attach an additional sheet of paper

4. Direct Supervisor's Comments

Please provide comments based on factual evidence related to the case.

5. T3 Supervisor's Comments (if applicable)

Please provide comments based on factual evidence related to the case.

6. Preferred Mode

- ☐ Email (applicable if the disciplinary action does not entail a misconduct reporting with the MAS)
☐ Meeting (may be held physically or virtually)

.....
FAR Signature

.....
T2 Supervisor Signature

.....
T3 Supervisor Signature

.....
Date

For Office Use - Endorsement by Chief Distribution Officer

- ☐ Support the appeal
☐ Reject the appeal

Reasons For Supporting/Rejecting the Appeal

.....
Name

.....
CDO Signature

.....
Date