

Date Received:

NOTIFICATION TO ADD FINANCIAL ADVISORY ACTIVITY(IES)

Representative's Information		
Name as in NRIC / Passport: (please underline surname)		MAS Representative Number:
NRIC:	PIAS Rep Code:	Branch:

Type of Financial Advisory Activity(ies)	
Please tick (☑) the type of financial advisory activity(ies) which you intend to conduct and insert 'E' for Exempted module(s), if applicable. (Copies of regulatory / professional qualifications are required. Original copies are to be sighted and signed off by FSD/FSM/BDM)	
<input type="checkbox"/>	Securities and Futures
<input type="checkbox"/> M6 _____ Date Passed (DD/MM/YYYY)	<input type="checkbox"/> M6A _____ Date Passed (DD/MM/YYYY)
<i>Note: Completion of "Letter of Undertaking for Register of Interests in Securities" Form is required.</i>	
<input type="checkbox"/>	Collective Investment Schemes
<input type="checkbox"/> M8 _____ Date Passed (DD/MM/YYYY)	<input type="checkbox"/> M8A _____ Date Passed (DD/MM/YYYY)
<input type="checkbox"/>	General Insurance
<input type="checkbox"/> BCP _____ Date Passed (DD/MM/YYYY)	<input type="checkbox"/> PGI _____ Date Passed (DD/MM/YYYY)
<input type="checkbox"/> ComGI _____ Date Passed (DD/MM/YYYY)	

Declaration Clauses
<p>IMPORTANT: The information disclosed in this application form forms the basis for Professional Investment Advisory Services Pte Ltd (PIAS)'s submission to the Monetary Authority of Singapore (MAS) under its Representative Notification Framework. False declaration or material non-disclosure of information may render a representative to be not fit and proper. PIAS reserves the right to review your representative's agreement if any false declaration or material non-disclosure is detected.</p> <ol style="list-style-type: none"> 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. I am aware that under Section 23L of the Financial Advisers Act, an individual who has provided a statement that is materially false or misleading to his principal and the statement is subsequently lodged with the Monetary Authority of Singapore, or has omitted to give information to his principal which causes the lodged document to be misleading in a material respect, shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$50,000. I have read and understood all information contained in (a) Guidelines No. FSG-G01 - Guidelines on Fit and Proper Criteria and (b) Guidelines No. FAA-G04 - Guidelines on Standards of Conduct for Financial Advisers and Representatives ("Guidelines"); and in submitting this form, I am satisfied that I am a fit and proper person based on the criteria stated in the Guidelines. I understand and agree that <u>I will not conduct the new proposed financial advisory activity(ies)</u> (as defined by the Financial Advisers Act) including without limitation, any form of sales activities, until I have been informed by the Company to do so.

Declaration	
(Name of Representative)	(Signature of Representative / Date)

For Internal Use Only	
To lodge <input type="checkbox"/> With Adverse <input type="checkbox"/> Without adverse <input type="checkbox"/> Collective Investment Scheme <input type="checkbox"/> Securities	
Processed by:	Verified by:
Name & Signature of AMU Staff Date:	Name & Signature of AMU Supervisor Date:
To update (tick accordingly when completed): <input type="checkbox"/> Code Creation in iFast (after approval of CIS License) <input type="checkbox"/> iFast Code in Master Rep Listing <input type="checkbox"/> iFast Code in AIMs / VUE Applicable to General Insurance only: <input type="checkbox"/> email notification to GI team	
Updated by:	Verified by:
Name & Signature of AMU Staff Date:	Name & Signature of AMU Supervisor Date: