



Corporations and Representatives System ("CoRe") - Bulk Filing



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1. Overview of Bulk Filing



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1.1 Overview of Bulk Filing

- Bulk filing is a function in CoRe to facilitate FIs in filing up to 500 representative notifications in a single filing.
- The existing configurations for individual filing, for example the Creator and Approval role, will apply to both individual and bulk filing. There is no additional configuration required for bulk filing.
- When submitted successfully, the Creator and Approver will receive a consolidated email acknowledgement containing the specific notification number for each individual record submitted. The individuals will also receive an SMS via their mobile phone to inform them that their notifications are being processed. As the consolidated acknowledgement email contains details of multiple individuals, the individuals will not be copied in this email.
- Notifications filed via bulk filing will be processed upon receipt by MAS, similar to individual filings. They may not be published on the Register of Representatives ("RR") at the same time, as more time may be required for more complex cases. FIs may withdraw any individual notification submitted via the bulk filing before it is published to the RR, without affecting the other notifications in the same bulk filing.

1.1 Overview of Bulk Filing (continued)

- 2 methods FIs can enter the data into the notification form for bulk filing:
 - Input your representative data directly into the online bulk filing notification form; or
 - Pre-populate your representative data using the bulk filing csv form template (may be downloaded for offline use), before transferring the data onto the online bulk filing notification form. (Note: This set of guide will focus on this method.)
- If there are errors encountered, you may choose to either:
 - rectify the error online before submitting the bulk notification; or
 - remove the notification(s) with error(s) and submit the rest of the notifications.
- FIs may encounter the following errors during bulk filing:
 - Prior to submission, the system will perform field-level validation checks and highlight errors (such as mandatory fields not being populated, or data not entered in the required format). FIs must correct such errors before the bulk notification can be submitted.

1.1 Overview of Bulk Filing (continued)

- After the bulk notification is submitted, the system will perform a second-level of validation checks, and highlight errors such as:
 - Notifications with conflicting information (e.g. name, passport number, date of birth, nationality or gender information is not consistent with our record) – you should verify the representative data entered. If the representative data entered are correct, supporting documents will be required to proceed with the filing. As the bulk filing function does not support attachment of supporting documents, notifications with conflicting information have to be submitted via individual filing instead;
 - Where there is already an outstanding notification submitted for the same representative for the same regulated activities by the same FI.

The Creator and Approver will receive an email notification to inform them of the specific post-submission errors no later than one day after submission. The bulk notification will remain in “Draft” (if created by the Approver) or “Pending Approval” (if created by the Creator) status. The FI should correct the errors or remove the specific notifications with errors from the bulk notification, and re-submit the bulk notification. The bulk notification will be processed only after it is re-submitted and no further errors are detected by the system.

1.1 Overview of Bulk Filing (continued)

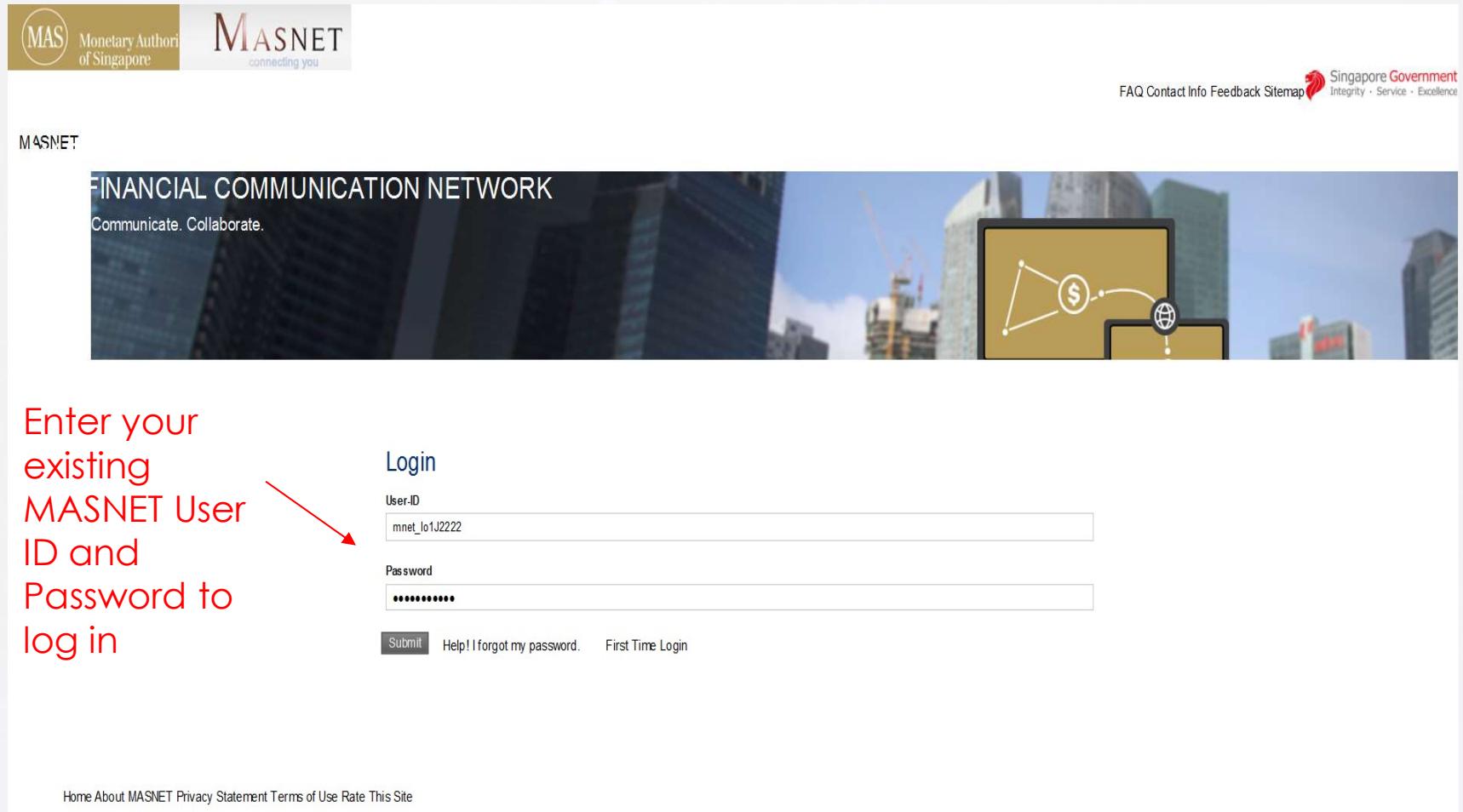
- The notification number format for notifications submitted via bulk filing is distinct from those submitted via individual filing with a prefix “B”. Notifications submitted via bulk filing will share the same notification number, with a suffix of 3-digit in running number to denote the number of notifications within each bulk filing notification.
 - For example:
 - BRN201903030123456-001
 - BRN201903030123456-002
 - BRN201903030123456-003
 - BRN201903030123456-004
 - BRN201903030123456-005

2. Accessing the Bulk Filing



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2.1 Accessing the Bulk Filing



The screenshot shows the MASNET login page. At the top left is the MAS logo and "Monetary Authority of Singapore". To its right is the MASNET logo with the tagline "connecting you". On the far right are links for "FAQ", "Contact Info", "Feedback", "Sitemap", and the "Singapore Government" logo with the tagline "Integrity · Service · Excellence". Below the header is a banner featuring a city skyline background with the text "MASNET FINANCIAL COMMUNICATION NETWORK" and "Communicate. Collaborate." A graphic of a network connection with a dollar sign (\$) symbol is overlaid on the banner. The main content area is titled "Login". It contains two input fields: "User-ID" with the value "mnet_lo1J2222" and "Password" with several dots as the password. Below these fields are "Submit", "Help! I forgot my password.", and "First Time Login" buttons. At the bottom of the page are links for "Home", "About MASNET", "Privacy Statement", "Terms of Use", and "Rate This Site". A red arrow points from the text "Enter your existing MASNET User ID and Password to log in" to the "User-ID" input field.

Enter your existing MASNET User ID and Password to log in

MASNET

FINANCIAL COMMUNICATION NETWORK

Communicate. Collaborate.

Login

User-ID
mnet_lo1J2222

Password

Submit Help! I forgot my password. First Time Login

Home About MASNET Privacy Statement Terms of Use Rate This Site



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2.1 Accessing the Bulk Filing (continued)

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. At the top, there are links for Home, Representative Notification (circled in red), Corporate Lodgement, Fees, and a search bar. Below this is a navigation bar with links for Search Notifications, New Individual Filing, New Bulk Filing (circled in red with a red arrow pointing to the text 'Click here to access the Bulk Filing'), and Generate Report. The main content area displays 'Representative Notifications' with five colored boxes: green (Draft: 0), blue (Pending Action: 0), orange (Submitted: 0), red (Pending Approval: 0), and purple (Published: 0). To the right, there are dropdown menus for 'Overview Level' (set to 'Creator View') and 'Time Period' (set to '12/Aug/2019 - 10/Sep/2019'), and a 'UPDATE DASHBOARD' button.

ABC COMPANY PTE LTD

Hello, u1 J2222
Last Logged in 10 September 2019
11:09 AM Singapore

Home Representative Notification Corporate Lodgement Fees

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

Representative Notifications

Draft 0 Pending Action 0 Submitted 0

Pending Approval 0 Published 0

Overview Level: Creator View

Time Period: 12/Aug/2019 - 10/Sep/2019

UPDATE DASHBOARD

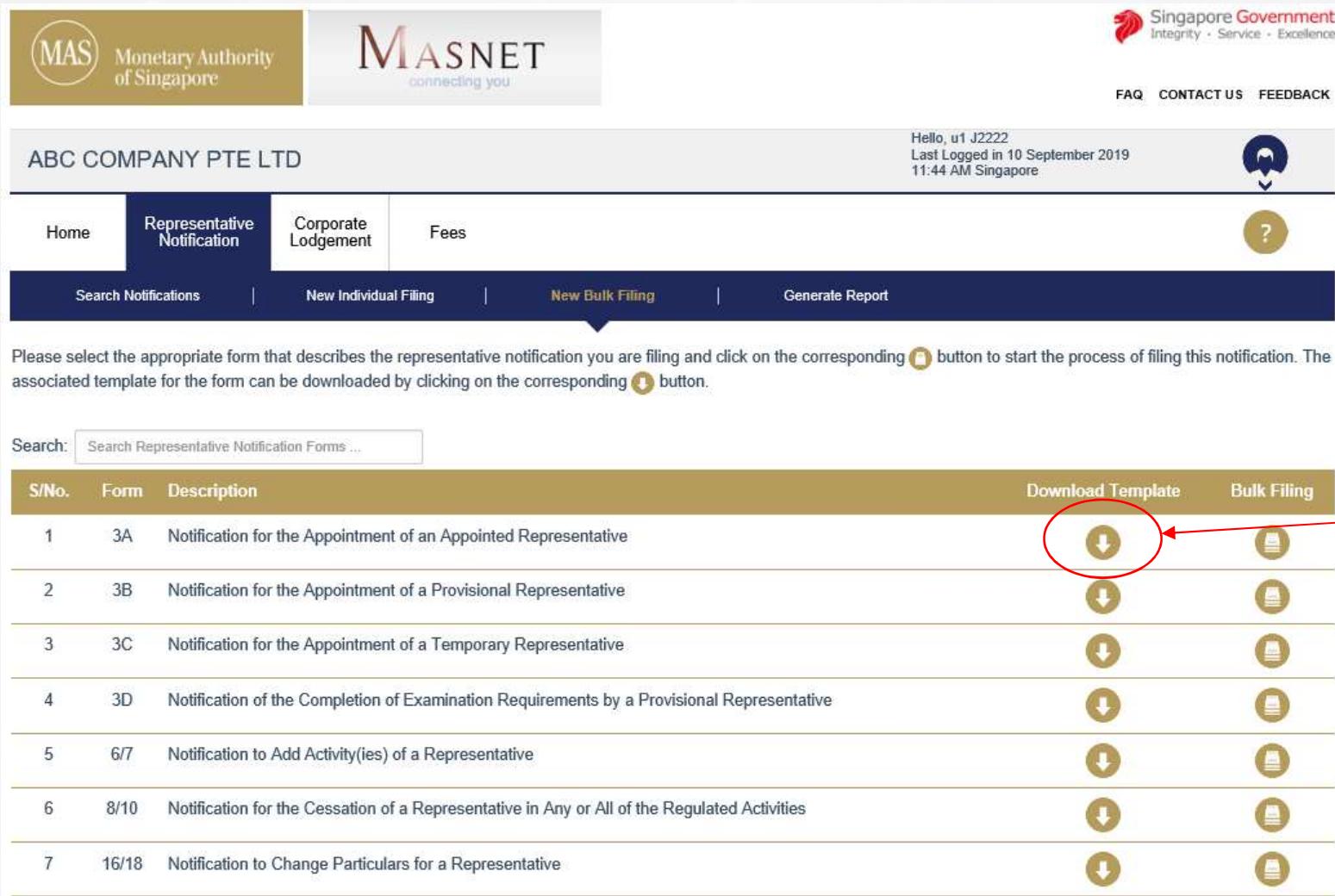
Click here to access the Bulk Filing

3. How to use the Bulk Filing csv Template



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3.1 How to use the Bulk Filing csv Template



Please select the appropriate form that describes the representative notification you are filing and click on the corresponding  button to start the process of filing this notification. The associated template for the form can be downloaded by clicking on the corresponding  button.

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

Click on the icon under the "Download Template" column to download the csv template for the relevant form.



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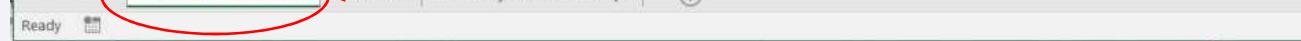
3.1 How to use the Bulk Filing csv Template (continued)

In RNS->New Bulk Filing screen, under the Application tab:

S/No	Instructions
1	Prepare the data into the mandatory fields in the respective excel template. Please note the format required for each field.
2	Select the completed cells in the excel template and copy the data (Ctrl + c)
3	In RNS->New Bulk Filing screen, under the Application tab: Click on "Add New Record" 
4	For FORM 3A, 3B and 3C Click on the empty cell under "Rep Name" and paste the data (Ctrl + v)  For Form 3D, 6/7, 8/10 and 16/18 Click on the empty cell under "Rep Number" and paste the data (Ctrl + v) 

Refer to the "General Instruction" tab in the csv template for instructions on filling out the form.

General Instruction



3.1 How to use the Bulk Filing csv Template (continued)

The screenshot shows a Microsoft Excel spreadsheet titled "BulkFiling_3A_Template [Read-Only] - Excel". The spreadsheet has a green header bar with standard Excel ribbon tabs: File, Home, Insert, Page Layout, Formulas, Review, View, and a "Tell me what you want to do..." search bar. The main content area displays a table with columns labeled A through H. Row 1 contains the following data:

A	B	C	D	E	F	G	H
1 Rep Name*	A rep on or after 26/11/2010?*	Enter: Y or N	Re self- ed?	Main Email*	Alternate Email	Mobile number*	Date of birth*
2							
3							
4							
5							
6							
7							
8							
9							
10							

Below the table, the ribbon shows tabs: General Instruction, Form 3A (which is selected), and Country of Citizenship. Red annotations are present: a red circle highlights the "Enter: Y or N" cell in row 1, column C; another red circle highlights the "Main Email*" cell in row 1, column E; a third red circle highlights the "Form 3A" tab in the ribbon; and a fourth red circle highlights the "General Instruction" tab in the ribbon. Red arrows point from the bottom-left annotation to the "Form 3A" tab and from the middle annotation to the "Main Email*" cell.

Fill in the particulars in the tab with the form number.

Mouse over the row header to display the value and/or format required for each field.

Mandatory fields are indicated with "*".

3.1 How to use the Bulk Filing csv Template (continued)

For the "Country of citizenship" field, look for the country name in the "Country of citizenship" tab. Copy and paste the country name to fill in the field.

To leave greyed-out columns empty. These can be filled out on the online form directly.

Country Name
AFGHANISTAN
ALAND ISLANDS
ALBANIA
ALGERIA
AMERICAN SAMOA
ANDORRA
ANGOLA
ANGUILLA
ANTARCTICA
ANTIGUA & BARBUDA
ARGENTINA

4. How to use the Bulk Filing



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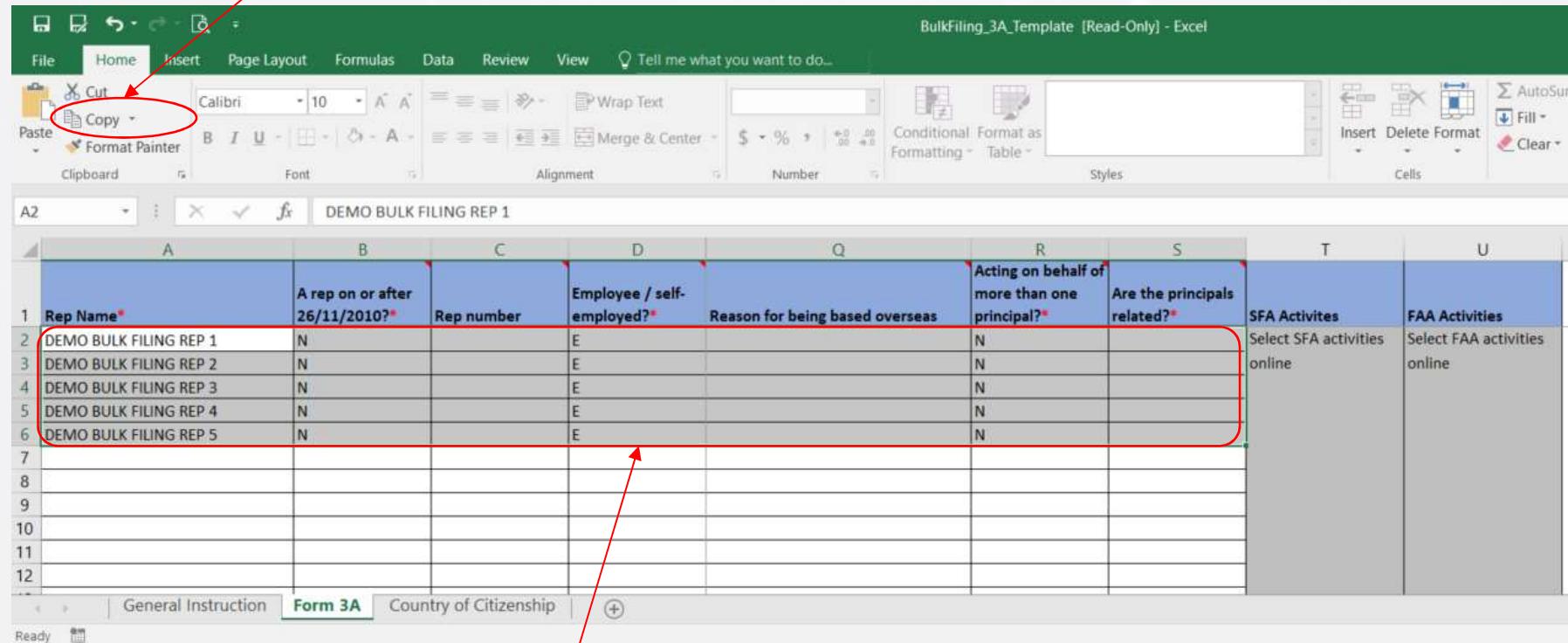
4.1 Submission of Form 3A (Bulk Filing)



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4.1 Submission of Form 3A as a Creator

2. Copy the data highlighted.



1. After the user fills out the csv template, highlight the completed rows from columns A to S. You may leave out the greyed-out columns.

4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are navigation links for Home, Representative Notification, Corporate Lodgement, and Fees. Below these are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A search bar is also present. On the right side, there is a user profile section with a logo for Singapore Government, the text "Hello, u1 J2222 Last Logged in 10 September 2019 12:36 PM Singapore", and links for FAQ, CONTACT US, and FEEDBACK. A question mark icon is located in the top right corner of the main content area. The main content area displays a table of forms with columns for S/No., Form, Description, Download Template, and Bulk Filing. The "Bulk Filing" column for Form 3A is circled in red with a red arrow pointing to it from the text "Click on this icon to submit Form 3A.".

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		



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4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET. The header includes a 'Singapore Government' logo with the tagline 'Integrity - Service - Excellence'. Navigation links for 'FAQ', 'CONTACT US', and 'FEEDBACK' are also present.

The main content area displays a user profile: 'Hello, u1 J2222' and 'Last Logged in 10 September 2019 12:37 PM Singapore'. Below this, a navigation bar includes 'ABC COMPANY PTE LTD', 'Home', 'Representative Notification', 'Corporate Lodgement', 'Fees', 'Search Notifications', 'New Individual Filing', 'New Bulk Filing' (which is highlighted in yellow), and 'Generate Report'.

The main form title is 'Bulk Filing Form 3A: Notification for the Appointment of an Appointed Representative'. Below it, a step-by-step process is shown: '1 Explanatory Notes >', '2 Application >', '3 Declarations and Confirmation >', and '4 Preview >'. A question mark icon is located above the 'Declarations and Confirmation' step.

Information for Submission: Please have the following information ready for submission. It will take approximately 10 minutes to fill up the notification form.

- Personal particulars of the representative (example: representative number, NRIC, passport, employment pass, contact number, etc);
- Proposed regulated activities;
- Proposed commencement date; and
- Fiduciary certification.

Processing Time: This notification will be processed in approximately 7 business days or on the proposed commencement date, whichever is later.

Instructions:

- Please read the explanatory notes and questions carefully before completing the form. This form should be completed after ensuring that the criteria listed in section 99D of the Securities and Futures Act (Cap 289) ("SFA") and relevant Regulations and/or section 23C of the 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.
- This notification is to be submitted by an authorised person of the individual's principal.
- Once the individual's name has been entered into the Monetary Authority of Singapore's ("the Authority") Register of Representatives as an appointed representative, the principal shall not be allowed to withdraw this form.
- Under the SFA and FAA, a principal shall not permit any individual to provide any regulated activity/ financial advisory service on its behalf unless the individual is an appointed representative in respect of that type of regulated activity/financial advisory service. Please indicate each regulated activity and/or financial advisory service which the individual intends to conduct under the SFA and/or FAA.
- Mandatory fields are denoted with ^(*).
- A non-refundable lodgment fee is payable to the Authority for the lodgment of this form. The lodgment fee is as prescribed under regulation 6 of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) ("SF(LCB)R") and regulation 6 of the Financial Advisers Regulations (Rg 2) ("FAR"), as the case may be. In respect of a principal who submits this form together with its corporate licence application, a fee advice and instructions in relation to the amount of and manner of payment for the lodgment fee will be provided to the applicant upon the Authority's receipt of the corporate licence application.

At the bottom, there are two buttons: 'I Agree' (highlighted with a red circle) and 'Cancel'.

After reading through the explanatory notes, select "I Agree" to proceed.



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4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET website interface for bulk filing. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with the Singapore Government seal. The user is logged in as 'ABC COMPANY PTE LTD'. The main navigation menu includes Home, Representative Notification, Corporate Lodge, Fees, and search functions for notifications, individual filing, and bulk filing. A 'Generate Report' button is also present. Below the menu, a progress bar indicates the steps: 1. Explanatory Notes, 2. Application (which is active), 3. Declarations and Confirmation, and 4. Preview. A red circle highlights the 'Add new record' button in the first step. A red arrow points from the text 'Click on "Add new record" to add a new row.' to this button. The application form table has columns for Validation Status, Rep Name*, A rep on or after 26/11/2010?, Rep Number, Employee/ self-employed?, Main Email*, and Altern.

ABC COMPANY PTE LTD

Hello, u1 J2222
Last Logged in 10 September 2019
12:40 PM Singapore

FAQ CONTACT US FEEDBACK

Home Representative Notification Corporate Lodge Fees

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

Bulk Filing Form 3A: Notification for the Appointment of an Appointed Representative

1 Explanatory Notes > 2 Application > 3 Declarations and Confirmation > 4 Preview >

+ Add new record

Validation Status	Rep Name *	A rep on or after 26/11/2010? *	Rep Number	Employee/ self-employed? *	Main Email *	Altern

Click on "Add new record" to add a new row.

4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity • Service • Excellence". Below the header, the user is logged in as "Hello, u1 J2222" and last logged in on 10 September 2019 at 12:40 PM Singapore. The main navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, and a search bar for Notifications, Individual Filing, Bulk Filing, and Generate Report.

The current page is titled "Form 3A: Notification for the Appointment of an Appointed Representative". It shows a step-by-step process: 1. Explanatory Notes, 2. Application (which is currently selected), 3. Declarations and Confirmation, and 4. Preview.

The application form table has columns for Validation Status, Rep Name*, A rep on or after 26/11/2010?*, Rep Number, Employee/ self-employed?*, Main Email*, and Altern. A new row has been added to the table, indicated by a red circle around the first empty cell under "Rep Name*". Red arrows point from the text "A new row is created." to this cell. The table rows are as follows:

Validation Status	Rep Name*	A rep on or after 26/11/2010?*	Rep Number	Employee/ self-employed?*	Main Email*	Altern

1. Click on the first empty cell under "Rep Name" and paste all the data copied from columns A to S of the csv template (Ctrl + V).

2. Click anywhere outside the first cell, and system will create a new row for each representative.

4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET Bulk Filing interface. At the top, there are navigation links for Home, Representative Notification, Corporate Lodgement, Fees, and search functions. The main title is "Form 3A: Notification for the Appointment of an Appointed Representative". Below the title, a progress bar indicates four steps: 1. Explanatory Notes, 2. Application (which is active), 3. Declarations and Confirmation, and 4. Preview. The application section displays a table with columns for Validation Status, Rep Name, Principals related?, SFA Activities, and FAA Activities. A red circle highlights the trash bin icons in the Validation Status column. A dropdown menu for SFA Activities is open, showing options like [SCCF] Advising on corporate finance, [SCCR] Providing credit rating services, etc. A red arrow points from the trash bin icon to the dropdown menu. To the right, a sidebar shows a summary of selected SFA activities: SCCF, SCDC, and SCDS.

Validation Status	Rep Name *	Principals related? *	SFA Activities	FAA Activities
[trash bin]	DEMO BULK FILING REP 1		[SCCF] Advising on corporate finance [SCCR] Providing credit rating services [SCDC] Dealing in capital markets products that are units in a collective investment scheme [SCDS] Dealing in capital markets products that are securities [SCFTI] Dealing in capital markets	
[trash bin]	DEMO BULK FILING REP 2			
[trash bin]	DEMO BULK FILING REP 3			
[trash bin]	DEMO BULK FILING REP 4			
[trash bin]	DEMO BULK FILING REP 5			

To delete a record, click on the trash bin icon beside the record.

To select the required activity/activities under SFA and/or FAA. Click on the activities to select. The activity code for the selected activity/activities will be displayed.



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4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET application interface for submitting Form 3A. The top navigation bar includes the MAS logo, the MASNET 'connecting you' logo, and the Singapore Government logo with the tagline 'Integrity • Service • Excellence'. The user is logged in as 'Hello, u1 J2222' from 'ABC COMPANY PTE LTD' last logged in on 13 September 2019 at 09:32 AM Singapore.

The main menu includes Home, Representative Notification (selected), Corporate Lodgement, Fees, and a Help icon. Below the menu are buttons for Search Notifications, New Individual Filing, New Bulk Filing (which is highlighted), and Generate Report.

The current page is 'Bulk Filing > Form 3A: Notification for the Appointment of an Appointed Representative'. The process steps are: 1. Explanatory Notes, 2. Application (selected), 3. Declarations and Confirmation, and 4. Preview.

The application form table has columns for Validation Status, Rep Name *, Principals related?, SFA Activities, FAA Activities, and buttons for Copy to All. A red circle highlights the 'X' icon in the SFA Activities column for the first row, indicating where to click to delete selected activities. A red arrow points from the explanatory text below to this 'X' icon.

Form 3A: Notification for the Appointment of an Appointed Representative					
1 Explanatory Notes		2 Application		3 Declarations and Confirmation	
4 Preview					
+ Add new record					
Validation Status	Rep Name *	Principals related?	SFA Activities	FAA Activities	
	DEMO BULK FILING REP 1		[SCCF] Advising on corporate finance [SCDS] Dealing in capital markets products that are securities [SCDC] Dealing in capital markets products that are units in a collective investment scheme		Copy to All
	DEMO BULK FILING REP 2				
	DEMO BULK FILING REP 3				
	DEMO BULK FILING REP 4				
	DEMO BULK FILING REP 5		[SCCR] Providing credit rating services [SCET] Dealing in capital markets products that are exchange-traded derivatives contracts [SCLF] Dealing in capital markets products that are spot foreign exchange contracts for the purposes of leveraged foreign exchange trading		Copy to All

To delete the selected activity/activities, click on the "x" icon.



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4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET application interface for submitting Form 3A. The top navigation bar includes the MAS logo, MASNET branding, and Singapore Government logos. The main header displays 'ABC COMPANY PTE LTD' and the user's login information: 'Hello, u1 J2222' and 'Last Logged in 12 September 2019 08:45 PM Singapore'. The menu bar offers links to Home, Representative Notification, Corporate Lodgement, Fees, and search functions. Below the menu is a step-by-step process: 'Explanatory Notes' (Step 1), 'Application' (Step 2, highlighted in blue), 'Declarations and Confirmation' (Step 3), and 'Preview' (Step 4). The 'Application' step shows a table with five rows of data for 'DEMO BULK FILING REP 1' through 'REP 5'. The 'SFA Activities' column for REP 1 contains a list: 'SCCF', 'SCDC', and 'SCDS'. A red circle highlights the 'Copy to All' button next to this list. A red arrow points from this button to a sidebar titled 'SFA Activities' which lists the same three items for all five records. The sidebar also features a 'Copy to All' button.

Form 3A: Notification for the Appointment of an Appointed Representative																																																																	
1	Explanatory Notes	2	Application	3	Declarations and Confirmation																																																												
Bulk Filing																																																																	
Form 3A: Notification for the Appointment of an Appointed Representative																																																																	
1	Explanatory Notes	2	Application	3	Declarations and Confirmation																																																												
<table border="1"><thead><tr><th colspan="6">Form 3A: Notification for the Appointment of an Appointed Representative</th></tr><tr><th colspan="6">Bulk Filing</th></tr><tr><th>1</th><th>Explanatory Notes</th><th>2</th><th>Application</th><th>3</th><th>Declarations and Confirmation</th></tr></thead><tbody><tr><td colspan="6">+ Add new record</td></tr><tr><th>Validation Status</th><th>Rep Name *</th><th>Principals related? *</th><th>SFA Activities</th><th>FAA Activities</th><th></th></tr><tr><td></td><td>DEMO BULK FILING REP 1</td><td></td><td><ul style="list-style-type: none">• SCCF• SCDC• SCDS</td><td><ul style="list-style-type: none">• SCCF• SCDC• SCDS</td><td></td></tr><tr><td></td><td>DEMO BULK FILING REP 2</td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>DEMO BULK FILING REP 3</td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>DEMO BULK FILING REP 4</td><td></td><td></td><td></td><td></td></tr><tr><td></td><td>DEMO BULK FILING REP 5</td><td></td><td></td><td></td><td></td></tr></tbody></table>						Form 3A: Notification for the Appointment of an Appointed Representative						Bulk Filing						1	Explanatory Notes	2	Application	3	Declarations and Confirmation	+ Add new record						Validation Status	Rep Name *	Principals related? *	SFA Activities	FAA Activities			DEMO BULK FILING REP 1		<ul style="list-style-type: none">• SCCF• SCDC• SCDS	<ul style="list-style-type: none">• SCCF• SCDC• SCDS			DEMO BULK FILING REP 2						DEMO BULK FILING REP 3						DEMO BULK FILING REP 4						DEMO BULK FILING REP 5				
Form 3A: Notification for the Appointment of an Appointed Representative																																																																	
Bulk Filing																																																																	
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	DEMO BULK FILING REP 1		<ul style="list-style-type: none">• SCCF• SCDC• SCDS	<ul style="list-style-type: none">• SCCF• SCDC• SCDS																																																													
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The “Copy to All” function will copy the value in the first record to the rest of the records.



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4.1 Submission of Form 3A as a Creator (continued)

Bulk Filing Form 3A: Notification for the Appointment of an Appointed Representative

1 Explanatory Notes → 2 Application → 3 Declarations and Confirmation → 4 Preview →

SFA Activities

S/No.	Activity Code	Description
1	SCCF	Advising on corporate finance
2	SCDS	Dealing in capital markets products that are securities
3	SCET	Dealing in capital markets products that are exchange-traded derivatives contracts
4	SCDC	Dealing in capital markets products that are units in a collective investment scheme
5	SCLF	Dealing in capital markets products that are spot foreign exchange contracts for the purposes of leveraged foreign exchange trading
6	SCRM	Real estate investment trust management
7	SCOT	Dealing in capital markets products that are over-the-counter derivatives contracts
8	SCCR	Providing credit rating services

FAA Activities

S/No.	Activity Code	Description
1	FFAC	Advising on investment products (units in a collective investment scheme)
2	FFAE	Advising on investment products (exchange-traded derivatives contracts)
3	FFAV	Advising on investment products (spot foreign exchange contracts for the purposes of leveraged foreign exchange trading)
4	FFAU	Advising on investment products (securities)
5	FFAO	Advising on investment products (structured deposits)
6	FFIU	Issuing or promulgating analyses/reports on investment products (securities)
7	FFAD	Advising on investment products (over-the-counter derivatives contracts)
8	FFAI	Advising on investment products (life policies)

+ Add new record

Validation Status Rep Name * Principals related? SFA Activities FAA Activities

Copy to All Copy to All

DEM0 BULK FILING REP 1 DEM0 BULK FILING REP 2 DEM0 BULK FILING REP 3 DEM0 BULK FILING REP 4 DEM0 BULK FILING REP 5

• SCCF
• SCDC
• SCDS

5 record(s) [Success - 0 / Error - 0 / Warning - 0]

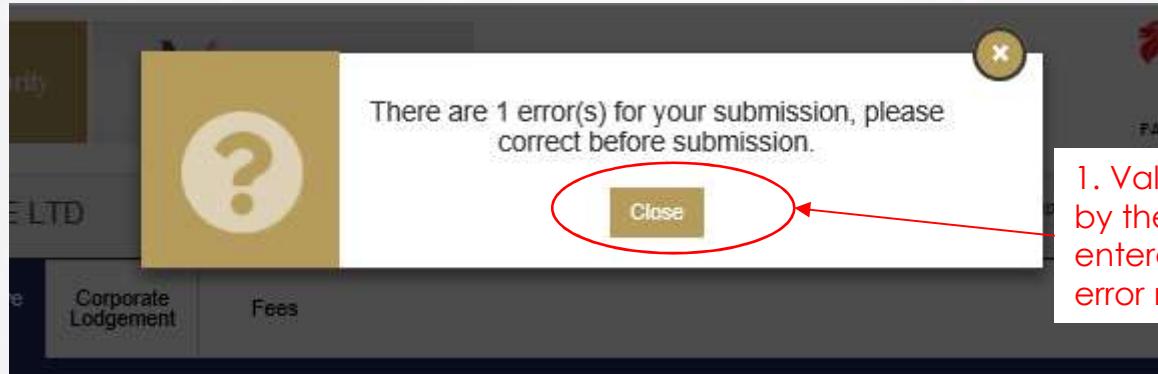
Click on the button "Show Activity Legend" at the bottom left corner to display the list of activity code and activity name that the FI is currently conducting.

Show Activity Legend

Save as Draft Previous Step Next Step Cancel

Complete the fields accordingly and select "Next Step" to proceed.

4.1 Submission of Form 3A as a Creator (continued)



1. Validation checks will be performed by the system. Any error on the data entered will be prompted with an error message. Click on "Close".

Validation Status	Rep Name *	A rep on or after 26/11/2010? *	Rep Number	Employee/ self-employed? *	Main Email *	Altern
View Error	DEMO BULK FILING REP 1	N		E	email1@email.com	

2. If there are validation errors to any record, it will show a red cross and a "View Error" button under Validation Status in the corresponding row. Click on the "View Error" to display the errors for the selected record.



5 record(s) [Success - 4 / **Error - 1** / Warning - 0]

3. Summary of the validation will be displayed at the bottom right of the online form.

4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET interface for bulk filing. The top navigation bar includes the MAS logo, MASNET branding, and a Singapore Government logo. The main header displays 'ABC COMPANY PTE LTD'. The menu bar offers links to Home, Representative Notification, Corporate Lodgement, Fees, Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The current step is 'Application' (Step 2). The main content area shows a table for 'Explanatory Notes' with columns for Validation Status, Rep Name, Date of Appointment, Rep Number, Employee/ self-employed, Main Email, and Altern. One row has a red circle around it, indicating an error. The bottom right corner of the table shows a message: '5 record(s) [Success - 4 / Error - 1 / Warning - 0]'. At the bottom, there are buttons for Show Activity Legend, Save as Draft, Previous Step, Next Step (which is highlighted with a red oval), and Cancel.

+ Add new record						
Validation Status	Rep Name *	A rep on or after 26/11/2010? *	Rep Number	Employee/ self-employed? *	Main Email *	Altern
	DEMO BULK FILING REP 1	N		E		
	DEMO BULK FILING REP 2	N		E	email2@email.com	
	DEMO BULK FILING REP 3	N		E	email3@email.com	
	DEMO BULK FILING REP 4	N		E	email4@email.com	
	DEMO BULK FILING REP 5	N		E	email5@email.com	

1. Rectify the error(s) by amending the data online, or remove the record(s) by clicking on the trash bin icon.

2. Select "Next Step" to proceed.

4.1 Submission of Form 3A as a Creator (continued)

If there are no validation errors, it will proceed to the "Declarations and Confirmation" tab.

The screenshot shows the MASNET interface for bulk filing. At the top, the MAS logo and the text 'MASNET connecting you' are visible. Below that, the user information 'Hello, u1 J2222 Last Logged in 13 September 2018 09:32 AM Singapore' is displayed. The main navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, FAQ, CONTACT US, and FEEDBACK. The 'Representative Notification' tab is active. Below the menu, the company name 'ABC COMPANY PTE LTD' is shown. The main content area is titled 'Bulk Filing' and 'Form 3A: Notification for the Appointment of an Appointed Representative'. A progress bar indicates the steps: 1 Explanatory Notes, 2 Application, 3 Declarations and Confirmation (which is highlighted in blue), and 4 Preview. Under the 'Declarations and Confirmation' step, there is a section titled 'Fit and Proper Certification'. It contains three statements, each with a checkbox and a green checkmark indicating they have been checked:

- is satisfied that the individual is not the subject of a bankruptcy petition or an undischarged bankrupt, in Singapore or elsewhere. *
- is satisfied that there is no conflict of interest, including any conflict 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 meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09]. *

Select whether the FI is aware of any adverse information on the individuals.

This screenshot shows the 'Declarations and Confirmation' step of the bulk filing process. At the top, a note says 'Please select one of the following two *'. Below it is a section titled 'is aware that the individual has adverse information which is assessed and nevertheless it considers that the individual meets the fit and proper criteria under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority. The principal undertakes to closely supervise and institute proper controls and systems to monitor the individual???' with 'Select All' checkboxes. The main declaration section contains four statements, each with a checkbox and a green checkmark:

- is not aware of any adverse information on the individual
- is satisfied that the individual meets all the other requirements under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority. *
- is aware that the due diligence conducted on the background of the individual named in this form shall be documented and properly kept as prescribed under section 99H(4) of the SFA and/or section 23F(4) of the FAA. *
- 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.^ *

A red arrow points from the text 'Complete the fit and proper certification by ticking on the checkboxes. This certification would apply to all notifications under the bulk filing.' to the first statement in the declaration section. Another red arrow points from the text 'Select whether the FI is aware of any adverse information on the individuals.' to the 'Adverse Information' section at the top.

Complete the fit and proper certification by ticking on the checkboxes. This certification would apply to all notifications under the bulk filing.



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4.1 Submission of Form 3A as a Creator (continued)

Select from drop down list or manually input the name of submitter.

The screenshot shows a web-based form for submitting a notification. At the top left is a 'Declaration' button. Below it, a section asks 'This notification is submitted on behalf of the Principal by *'. A dropdown menu is open, showing 'Other Officer' as the selected option. To the right of the dropdown is a placeholder text 'Name of Director / Chief Executive/ Chief Executive Officer'. Below this, an 'Officer's Name *' field contains the text 'John Tan'. A red arrow points from the text 'Select from drop down list or manually input the name of submitter.' to the 'Officer's Name' field.

This notification is submitted on behalf of the Principal by *

Other Officer

Name of Director / Chief Executive/ Chief Executive Officer

Officer's Name * John Tan

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.

Please note that the Authority may refuse a notification submitted on behalf of an individual to carry on business in regulated activity/activities or provide financial advisory service/services if the individual and/or the Principal fails to satisfy the Authority that the individual is a fit and proper person to carry on business in the regulated activity/activities or provide financial advisory service/services.

Save as Draft Previous Step **Next Step** Cancel

Select "Next Step" to proceed

4.1 Submission of Form 3A as a Creator (continued)

The screenshot shows the MASNET Bulk Filing interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET. The top right corner displays the Singapore Government logo with the tagline "Integrity - Service - Excellence". The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, FAQ, CONTACT US, and FEEDBACK. A user profile icon is also present.

The main content area is titled "ABC COMPANY PTE LTD". Below it, there are tabs for Home, Representative Notification, Corporate Lodgement, and Fees. The Representative Notification tab is selected. Sub-tabs include Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The "New Bulk Filing" tab is highlighted.

The central part of the screen shows the "Form 3A: Notification for the Appointment of an Appointed Representative". It has a step-by-step process: Explanatory Notes (Step 1), Application (Step 2), Declarations and Confirmation (Step 3), and a fourth step which is partially visible. A red arrow points from the "Name of Representative" table below to the "Application" step.

Form 3A: Notification for the Appointment of an Appointed Representative

General Information

Full name of company, henceforth referred to in the rest of the form as "the Principal" * ABC COMPANY PTE LTD

Has the individual carried on business in regulated activity/activities under the SFA and/or provided financial advisory service/services under the FAA on or after 26/11/2010? No

Name as reflected in NRIC / FIN / Passport DEMO BULK FILING REP 1

State the individual's relationship with the Principal Employee

Personal Information

Set out the personal particulars of the individual below.

Main email address email@email.com

Table: Name of Representative

S/N	Name of Representative
1	DEMO BULK FILING REP 1
2	DEMO BULK FILING REP 2
3	DEMO BULK FILING REP 3
4	DEMO BULK FILING REP 4
5	DEMO BULK FILING REP 5

Text Overlay: Click on any record to display and verify the accuracy of the details entered.

Buttons at the bottom: Previous Page, Send for Approval, Next. The "Send for Approval" button is circled in red.

Text Overlay: Select "Send for Approval" to submit the bulk notification to Approver for approval.



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4.1 Submission of Form 3A as a Creator (continued)



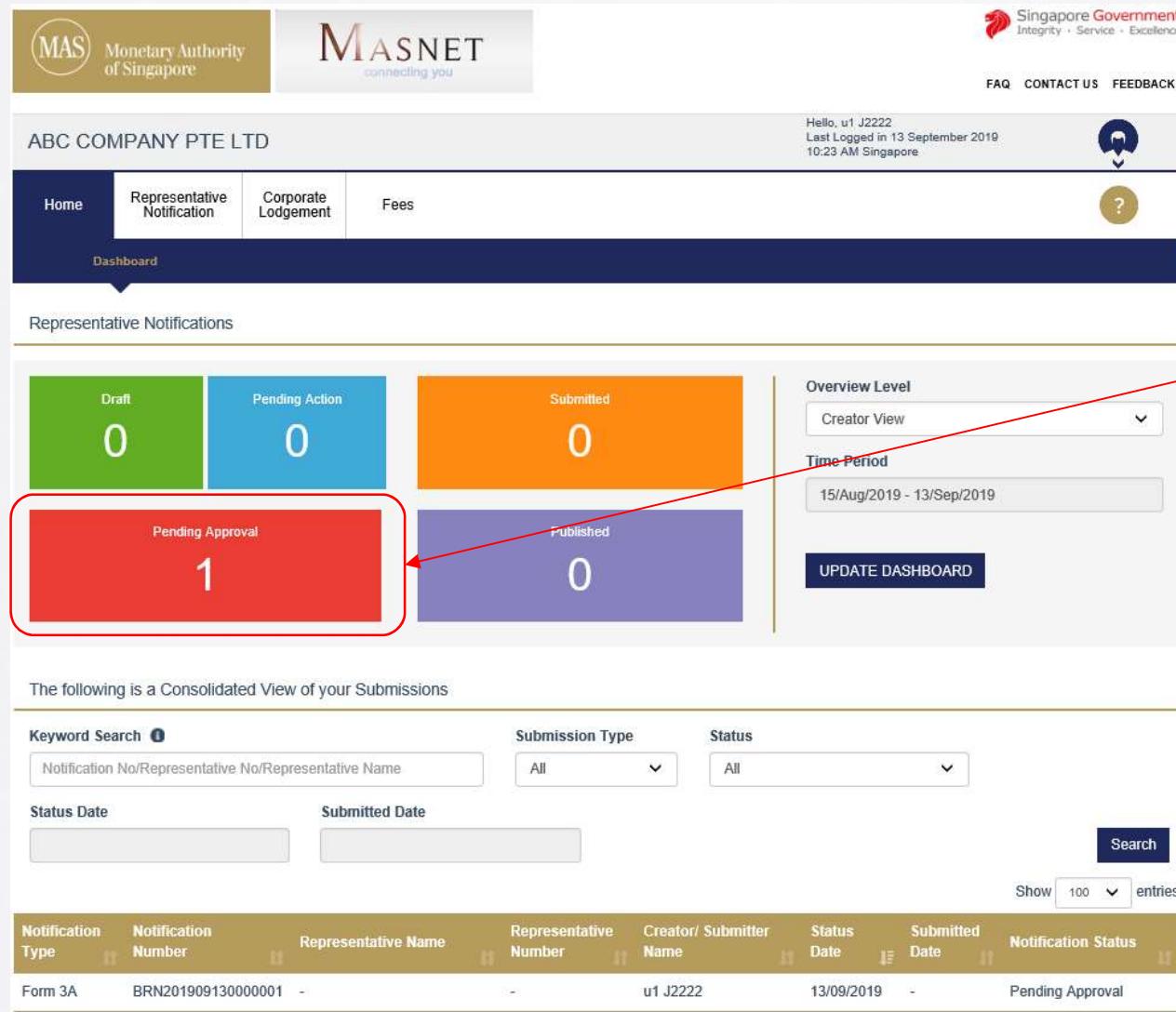
Select "Yes" to submit the bulk notification to FI Approver for approval.

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET logo, and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as u1 J2222, last logged in on 13 September 2019 at 10:18 AM Singapore.

The dashboard menu includes Home, Representative Notification, Corporate Lodgement, Fees, and a Bulk Filing option. A red box highlights the Bulk Filing tab.

The main content area displays a message: "Thank you! Your submission is being processed. You may check on the status of your submission shortly via your Dashboard." A red arrow points from the text "Click on 'Done' to go back to the Dashboard." to the "Done" button at the bottom right.

4.1 Submission of Form 3A as a Creator (continued)



The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. At the top, there are links for Home, Representative Notification, Corporate Lodgement, Fees, and a question mark icon. The Representative Notifications section displays four status counts: Draft (0), Pending Action (0), Submitted (0), and Pending Approval (1). A red box highlights the Pending Approval count. To the right, there are dropdowns for Overview Level (set to Creator View) and Time Period (set to 15/Aug/2019 - 13/Sep/2019), and a blue UPDATE DASHBOARD button. Below this, a message states "The following is a Consolidated View of your Submissions". It includes search filters for Keyword Search, Submission Type (All), Status (All), Status Date, and Submitted Date, along with a Search button and a Show 100 entries dropdown. A table at the bottom lists one submission entry: Form 3A, Notification Number BRN201909130000001, Representative Name -, Representative Number -, Creator/Submitter Name u1 J2222, Status Date 13/09/2019, Submitted Date -, and Notification Status Pending Approval.

Notification Type	Notification Number	Representative Name	Representative Number	Creator/Submitter Name	Status Date	Submitted Date	Notification Status
Form 3A	BRN201909130000001	-	-	u1 J2222	13/09/2019	-	Pending Approval

The bulk notification will be reflected as “Pending Approval” on the Dashboard.



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4.1 Approving Form 3A as an Approver

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET 'connecting you' tagline, and the Singapore Government logo with the tagline 'Integrity • Service • Excellence'. The main menu options are Home, Representative Notification, Corporate Lodgement, Fees, and Administration. The current page is the Dashboard. On the left, under 'Representative Notifications', there are five categories: Draft (0), Pending Action (1, highlighted with a red box), Submitted (0), Returned by Approver (0), and Published (0). To the right, there are filters for 'Overview Level' (set to 'Approver View') and 'Time Period' (set to '07/Sep/2019 - 13/Sep/2019'), along with a 'UPDATE DASHBOARD' button.

Status	Count
Draft	0
Pending Action	1
Submitted	0
Returned by Approver	0
Published	0

Click on “Pending Action” on the Dashboard to access the bulk notification.



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4.1 Approving Form 3A as an Approver (continued)

ABC COMPANY PTE LTD

Hello, lo1 J2222
Last Logged in 13 September 2019
10:34 AM Singapore

Home Representative Notification Corporate Lodgement Fees Administration

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

All the representative notifications that have been created over the last 30 days are as follow:

Keyword Search ! Submission Type Status

Notification No/Representative No/Representative Name All All

Status Date Submitted Date

Search Show 100 entries

Notification Type	Notification Number	Representative Name	Representative Number	Creator/ Submitter Name	Status Date	Submitted Date	Notification Status
Form 3A	BRN201909130000001	-	-	u1 J2222	13/09/2019	-	Pending Approval

Showing 1 to 1 of 1 entries

Previous 1 Next

Click on the bulk notification to select.



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4.1 Approving Form 3A as an Approver (continued)

The screenshot shows the MASNET website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET. On the right, there is a Singapore Government logo with the tagline "Integrity - Service - Excellence". Below the header, the user is identified as "Hello, IoT J2222" and "Last Logged in 13 September 2019 10:37 AM Singapore". There are links for "FAQ", "CONTACT US", and "FEEDBACK". The main navigation menu includes "Home", "Representative Notification", "Corporate Lodge", "Fees", and "Administration". Below the menu, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing", and "Generate Report". A dropdown menu icon with a question mark is also present. The current page is "Bulk Filing" for "Form 3A: Notification for the Appointment of an Appointed Representative". The process steps are shown as a sequence: 1. Explanatory Notes (highlighted in blue), 2. Application, 3. Declarations and Confirmation, and 4. Preview. The "Information for Submission" section contains instructions and a list of required documents. The "Processing Time" section states that notifications will be processed within 7 business days. The "Explanatory Notes" section contains 6 numbered points. At the bottom, there are "I Agree" and "Cancel" buttons, with "I Agree" being circled in red.

ABC COMPANY PTE LTD

Hello, IoT J2222
Last Logged in 13 September 2019
10:37 AM Singapore

FAQ CONTACT US FEEDBACK

Home Representative Notification Corporate Lodge Fees Administration

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

Bulk Filing Form 3A: Notification for the Appointment of an Appointed Representative

1 Explanatory Notes > 2 Application > 3 Declarations and Confirmation > 4 Preview >

Information for Submission

Please have the following information ready for submission. It will take approximately 10 minutes to fill up the notification form.

- Personal particulars of the representative (example: representative number, NRIC, passport, employment pass, contact number, etc);
- Proposed regulated activities;
- Proposed commencement date; and
- Fit and proper certification.

Processing Time

This notification will be processed in approximately 7 business days or on the proposed commencement date, whichever is later.

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 section 99D of the Securities and Futures Act (Cap 289) ("SFA") and relevant Regulations and/or section 23C of the 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. Once the individual's name has been entered into the Monetary Authority of Singapore's ("the Authority") Register of Representatives as an appointed representative, the principal shall not be allowed to withdraw this form.
4. Under the SFA and FAA, a principal shall not permit any individual to provide any regulated activity/ financial advisory service on its behalf unless the individual is an appointed representative in respect of that type of regulated activity/financial advisory service. Please indicate each regulated activity and/or financial advisory service which the individual intends to conduct under the SFA and/or FAA.
5. Mandatory fields are denoted with ***.
6. A non-refundable lodgment fee is payable to the Authority for the lodgment of this form. The lodgment fee is as prescribed under regulation 6 of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10) ("SFLCBR") and regulation 6 of the Financial Advisers Regulations (Rg 2) ("FAR"), as the case may be. In respect of a principal who submits this form together with its corporate licence application, a fee advice and instructions in relation to the amount of and manner of payment for the lodgment fee will be provided to the applicant upon the Authority's receipt of the corporate licence application.

I Agree Cancel

After reading through the explanatory notes, select "I Agree" to proceed.



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4.1 Approving Form 3A as an Approver (continued)

The screenshot shows the MASNET application interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). The top right corner displays the Singapore Government logo with the tagline "Integrity · Service · Excellence". The top bar also shows the user's name (Hello, Ic1 J2222), last login date (13 September 2019), and time (10:54 AM Singapore). The main header reads "ABC COMPANY PTE LTD". Below the header, there is a navigation menu with links: Home, Representative Notification, Corporate Lodgement, Fees, Administration, Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A dropdown menu icon is also present.

The main content area is titled "Bulk Filing" and "Form 3A: Notification for the Appointment of an Appointed Representative". It features a step-by-step navigation bar with four steps: 1. Explanatory Notes, 2. Application (which is currently selected), 3. Declarations and Confirmation, and 4. Preview.

The application table displays five records of data:

Validation Status	Rep Name *	A rep on or after 26/11/2010? *	Rep Number	Employee/ self-employed? *	Main Email *	Altern
	DEMO BULK FILING REP 1	N		E	email1@email.com	
	DEMO BULK FILING REP 2	N		E	email2@email.com	
	DEMO BULK FILING REP 3	N		E	email3@email.com	
	DEMO BULK FILING REP 4	N		E	email4@email.com	
	DEMO BULK FILING REP 5	N		E	email5@email.com	

At the bottom of the table, there are navigation arrows and a message: "5 record(s) [Success - 0 / Error - 0 / Warning - 0]".

The footer contains buttons: "Show Activity Legend", "Save as Draft", "Previous Step", "Next Step" (which is highlighted with a red circle), and "End".

Scroll and review the information submitted by the Creator.
Amend as necessary.

Select “Next Step” to proceed



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4.1 Approving Form 3A as an Approver (continued)

The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, Isf J2222' from 'Last Logged in 13 September 2019 10:54 AM Singapore'. The main content area is titled 'Bulk Filing' and 'Form 3A: Notification for the Appointment of an Appointed Representative'. It features a step-by-step process: 1. Explanatory Notes, 2. Application, 3. Declarations and Confirmation (which is currently selected), and 4. Preview. Below this, there's a 'Fit and Proper Certification' section with three statements marked with asterisks (*). To the right, there's a table for selecting representatives, with the first row highlighted in yellow.

S/N	Representative Name	is not aware of any adverse information on the individual Select All	is aware that the individual has adverse information which is assessed and nevertheless it considers that the individual meets the fit and proper criteria under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority. The principal undertakes to closely supervise and institute proper controls and systems to monitor the individual??is activity(es) Select All
1	DEMO BULK FILING REP 1	<input type="radio"/>	<input type="radio"/>
2	DEMO BULK FILING REP 2	<input type="radio"/>	<input type="radio"/>
3	DEMO BULK FILING REP 3	<input type="radio"/>	<input type="radio"/>
4	DEMO BULK FILING REP 4	<input type="radio"/>	<input type="radio"/>
5	DEMO BULK FILING REP 5	<input type="radio"/>	<input type="radio"/>

Review the Fit and Proper Certification.

This section contains detailed declarations:

- is satisfied that the individual is not the subject of a bankruptcy petition or an undischarged bankrupt, in Singapore or elsewhere.**
- is satisfied that there is no conflict of interest, including any conflict 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 meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09].**

Below these, there are two additional statements with checkboxes:

- is satisfied that the individual meets all the other requirements under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority.**
- is aware that the due diligence conducted on the background of the individual named in this form shall be documented and properly kept as prescribed under section 99H(4) of the SFA and/or section 23F(4) of the FAA.**

A note at the bottom states: "The above declaration is mandatory for all individuals 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."



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4.1 Approving Form 3A as an Approver (continued)

Declaration

This notification is submitted on behalf of the Principal by *

Other Officer
Name of Director / Chief Executive/ Chief Executive Officer

Officer's Name * John Tan

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 carry out the 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 true and correct.

Please note that the Authority may refuse a notification submitted on behalf of an individual if the individual and/or the Principal fails to satisfy the Authority's requirements for the regulated activity/activities or provide financial advisory service/services.

Confirmation

The Principal,

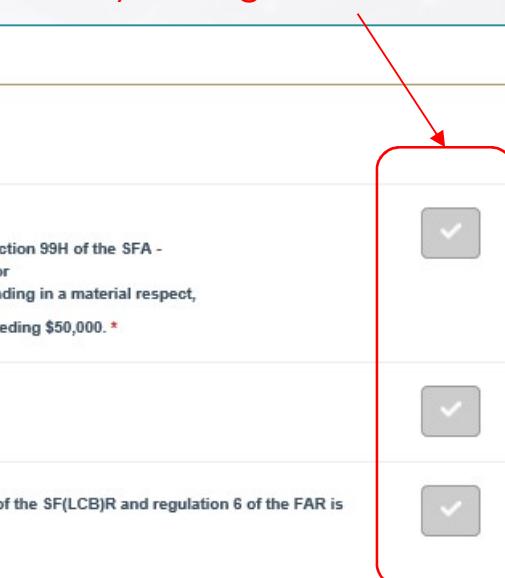
is aware that, pursuant to section 99O(1) of the SFA, Any principal who, in connection with the lodgment of any document under section 99H of the SFA -
a. makes a statement which is false or misleading in a material particular; or
b. omits to state any matter or thing without which the application is misleading in a material respect,
shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$50,000. *

confirms that the information submitted is true and correct. *

is aware that a non-refundable lodgment fee as prescribed under regulation 6 of the SF(LCB)R and regulation 6 of the FAR is chargeable upon successful submission of this lodgment, when applicable. *

Save as Draft **Previous Step** **Next Step** **Cancel**

Complete the confirmation by ticking the check boxes.



Select "Next Step" to proceed

4.1 Approving Form 3A as an Approver (continued)

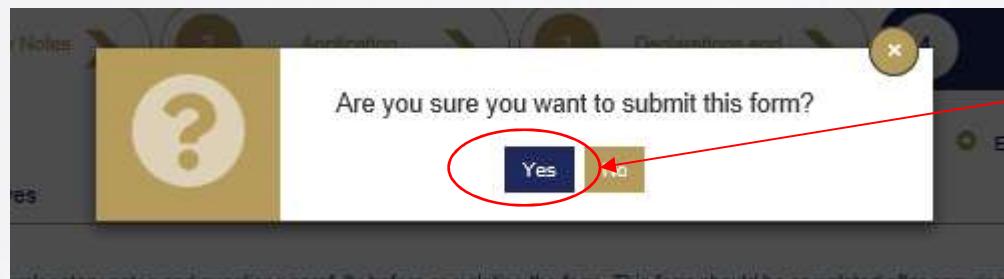
The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET logo, and the Singapore Government logo. The main menu has tabs for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below the menu, there are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A dropdown menu is open over the 'New Bulk Filing' button. The current page is 'Form 3A: Notification for the Appointment of an Appointed Representative'. A progress bar at the top indicates steps 1 through 4: Explanatory Notes, Application, Declarations and Confirmation, and Preview. Step 4 is highlighted in blue. Below the progress bar, there is a section titled 'List of Representatives' with a table containing five entries: DEMO BULK FILING REP 1, DEMO BULK FILING REP 2, DEMO BULK FILING REP 3, DEMO BULK FILING REP 4, and DEMO BULK FILING REP 5. At the bottom of the table, there are 'Previous' and 'Next' buttons. At the very bottom of the page, there are buttons for 'Previous Page', 'Return To Create', 'Submit to MAS' (which is circled in red), and 'Cancel'.

If the Approver is satisfied with the bulk notification, he can click on the "Submit to MAS" button to submit the notification to MAS.



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4.1 Approving Form 3A as an Approver (continued)



Select "Yes" to submit the bulk notification to MAS for review. After which, user will be directed to an acknowledgement screen.

A screenshot of the MASNET acknowledgement screen. The top navigation bar includes the MAS logo, MASNET branding, and Singapore Government logos. The main content area shows "ABC COMPANY PTE LTD" and a "Bulk Filing" section. A success message says "Thank you! Your submission is being processed. You may check on the status of your submission shortly via your Dashboard." A "Done" button at the bottom is highlighted with a red circle. The bottom left corner features the MAS logo and the word "CONFIDENTIAL".

Please note that the display of the acknowledgement screen does not mean that the submission is successful.

Click on "Done" to go back to the Dashboard.

4.1 Approving Form 3A as an Approver (continued)

Notification Type	Notification Number	Representative Name	Representative Number	Creator/ Submitter Name	Status Date	Submitted Date	Notification Status
Form 3A	BRN201909130000003	-	-	u1 J2222	13/09/2019	-	Pending Approval

If there are errors detected in the submission, the status of the bulk notification will remain unchanged as "Draft" (if created by the Approver) or "Pending Approval" (if created by Creator) and will not be updated to "Submitted". An email indicating the errors will be sent to the Creator and Approver.

Notification Type	Notification Number	Representative Name	Representative Number	Creator/ Submitter Name	Status Date	Submitted Date	Notification Status
Form 3A	BRN201909130000005 -001	DEMO BULK FILING REP 1	-	lo1 J2222	13/09/2019	13/09/2019	Submitted
Form 3A	BRN201909130000005 -005	DEMO BULK FILING REP 5	-	lo1 J2222	13/09/2019	13/09/2019	Submitted
Form 3A	BRN201909130000005 -004	DEMO BULK FILING REP 4	-	lo1 J2222	13/09/2019	13/09/2019	Submitted
Form 3A	BRN201909130000005 -003	DEMO BULK FILING REP 3	-	lo1 J2222	13/09/2019	13/09/2019	Submitted
Form 3A	BRN201909130000005 -002	DEMO BULK FILING REP 2	-	lo1 J2222	13/09/2019	13/09/2019	Submitted

If there are no errors detected, the bulk submission will be split into individual notifications with "Submitted" status. The Creator and Approver will receive a consolidated email acknowledgement.



4.1 Approving Form 3A as an Approver (continued)

The screenshot shows the MASNET interface for 'ABC COMPANY PTE LTD'. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, lo1 J2222' from 'Singapore' at '11:05 AM Singapore'. The main content area is titled 'Form 3A: Notification for the Appointment of an Appointed Representative'. A progress bar indicates steps 1 through 4: 'Explanatory Notes', 'Application', 'Declarations and Confirmation', and 'Preview'. Step 4 is highlighted in blue. Below the progress bar is a section titled 'List of Representatives' with a table:

S/No	Name of Representative
1	DEMO BULK FILING REP 1
2	DEMO BULK FILING REP 2
3	DEMO BULK FILING REP 3
4	DEMO BULK FILING REP 4
5	DEMO BULK FILING REP 5

At the bottom of the table, there are buttons for 'Previous', 'Next', and 'Cancel'. A red oval highlights the 'Return To Creator' button.

If the bulk notification needs to be revised by the Creator, the Approver can select "Return to Creator".



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4.1 Approving Form 3A as an Approver (continued)

ABC COMPANY PTE LTD

Home Representative Notification Corporate Lodgement Fees Administration

Dashboard

Hello, J01 J2222
Last Logged in 13 September 2019
11:14 AM Singapore

Return To Creator Reason

Reason (max. 200 character)

Return To Creator Cancel

2. Select the "Return to Creator" button after inputting the reason and user will be directed to a confirmation page.

The bulk notification will be returned to the creator for further action.

1. Input the reason for returning the bulk notification to Creator in the free text box.

ABC COMPANY PTE LTD

Home Representative Notification Corporate Lodgement Fees Administration

Dashboard

Bulk Filing

Thank you!

You have successfully return the Application (Ref: BRN201909130000002-001 to BRN201909130000002-005) to the creator.

You can check the status of your application via your Dashboard.

Done



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4.1 Approving Form 3A as an Approver (continued)

The screenshot shows the MASNET interface for 'ABC COMPANY PTE LTD'. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, lo1 J2222' last logged in on 13 September 2019 at 11:05 AM Singapore. The main content area is titled 'Form 3A: Notification for the Appointment of an Appointed Representative'. A progress bar indicates steps 1 through 4: 'Explanatory Notes', 'Application', 'Declarations and Confirmation', and 'Preview'. Step 4 is highlighted in blue. Below the progress bar, there is a section titled 'List of Representatives' with a table showing five entries: DEMO BULK FILING REP 1, DEMO BULK FILING REP 2, DEMO BULK FILING REP 3, DEMO BULK FILING REP 4, and DEMO BULK FILING REP 5. The table includes columns for S/No, Name of Representative, and actions. At the bottom of the table, there are buttons for 'Previous Page', 'Submit to MAS' (which is circled in red), and 'Cancel'.

The procedure to create a bulk notification using an Approver role is same as that of a Creator, except that at the Preview page, you will see "Submit to MAS". The rest of this guide will use the Approver role to create a bulk notification.



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4.2 Submission of Form 3B & 3C (Bulk Filing)



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4.2 Submission of Form 3B and 3C

The process for submitting Form 3B and 3C is similar to Form 3A.

The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET 'connecting you' logo, and the Singapore Government logo with the tagline 'Integrity • Service • Excellence'. The user is logged in as 'Hello, u1 J2222' from '10 September 2019 12:36 PM Singapore'. The main menu has tabs for Home, Representative Notification (which is selected), Corporate Lodgement, and Fees. Below the menu are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A search bar is present. The main content area displays a table of representative notification forms:

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

A red circle highlights the 'Bulk Filing' icon for Form 3C, with a red arrow pointing to it from the adjacent text block.

Please select the appropriate form that describes the representative notification you are filing and click on the corresponding button to start the process of filing this notification. The associated template for the form can be downloaded by clicking on the corresponding button.

Search:

Click on the relevant icon to access Form 3B or 3C, and follow the process for Form 3A to submit Form 3B and 3C.



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4.3 Submission of Form 3D (Bulk Filing)



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4.3 Submission of Form 3D as an Approver

2. Copy the data highlighted.

	A	B	C	D	E	F	G
1	Rep Name	Rep number*	Complete all exam req - SFA	SFA Activites	Complete all exam req - FAA	FAA Activites	
2	Click "Retrieve Activities" and Representative name will be retrieved.	DPR300050703	Default to "Y" if all SFA activities are selected	Retrieved by System. Default all SFA activities are selected	Default to "Y" if all FAA activities are selected	Retrieved by System. Default all FAA activities are selected	
3		DPR300050710					
4		DPR300050720					
5		DPR300050737					
6		DPR300050744					
7							
8							
9							

1. After the user fills out the csv template, highlight the completed rows in column B. You may leave out the greyed-out columns.

4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET website interface. At the top, there are logos for the Monetary Authority of Singapore (MAS) and MASNET, along with a Singapore Government seal. The top navigation bar includes links for FAQ, CONTACT US, and FEEDBACK. A user profile icon indicates the user is logged in as 'Hello, u1 J2222' and last logged in on '10 September 2019 12:36 PM Singapore'. The main menu includes Home, Representative Notification (which is selected), Corporate Lodgement, and Fees. Below the menu are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

Please select the appropriate form that describes the representative notification you are filing and click on the corresponding button to start the process of filing this notification. The associated template for the form can be downloaded by clicking on the corresponding button.

Search:

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

Click here to access Form 3D.



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4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET website interface for submitting Form 3D. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with a Singapore Government seal. The header includes a user greeting (Hello, Io1 J2222), login information (Last Logged in 13 September 2019 08:45 PM Singapore), and links for FAQ, CONTACT US, and FEEDBACK.

The main navigation bar for ABC COMPANY PTE LTD includes Home, Representative Notification (selected), Corporate Lodgement, Fees, and Administration. Below this is a secondary navigation bar with links for Search Notifications, New Individual Filing, New Bulk Filing (highlighted in yellow), and Generate Report.

The current page is titled "Bulk Filing" and displays the title "Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative". A progress bar at the top indicates four steps: 1. Explanatory Notes (highlighted in blue), 2. Application, 3. Declarations and Confirmation, and 4. Preview.

Information for Submission
Please have the following information ready for submission. It will take approximately 2 minutes to fill up the notification form.

- Proposed regulated activities;
- Proposed commencement date; and
- Fit and proper certification.

Processing Time
This notification will be processed in approximately 2 business days.

Instructions

- 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.
- This notification is to be submitted by an authorised person of the individual's principal.
- Mandatory fields are denoted with asterisk ^{**}.

Action Buttons

I Agree | Cancel

A red circle highlights the "I Agree" button, and a red arrow points from the text below to this button.

After reading through the explanatory notes, select "I Agree" to proceed.



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4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) website. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity • Service • Excellence". Below the header, the user is logged in as "Hello, lo1 J2222" and last logged in on "13 September 2019, 06:45 PM Singapore". The navigation menu includes Home, Representative Notification (which is selected), Corporate Lodgement, Fees, and Administration. A search bar at the bottom of the menu bar contains the text "ABC COMPANY PTE LTD". Below the menu, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing" (which is highlighted in yellow), and "Generate Report".

The main content area is titled "Bulk Filing" and "Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative". It shows a process flow with four steps: 1. Explanatory Notes, 2. Application (which is selected and highlighted in dark blue), 3. Declarations and Confirmation, and 4. Preview.

Below the steps, there is a table with columns: Validation Status, Rep Name, Rep Number *, Complete all exam req - SFA, SFA Activities, and Complete all exam req - FAA. A red circle highlights the "Add new record" button in the first column, and a red arrow points from the text "Click on 'Add new record' to add a new row." to this button.



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4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'lo1 J2222' last logged in on 13 September 2019 at 06:52 PM Singapore. Below the navigation is a search bar with options for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

The main content area is titled 'Bulk Filing' and 'Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative'. A progress bar indicates four steps: 1. Explanatory Notes, 2. Application (which is active), 3. Declarations and Confirmation, and 4. Preview.

The application form table has columns for Validation Status, Rep Name, Rep Number*, Complete all exam req - SFA, SFA Activities, and Complete all exam req - FAA. A new row is being added under 'Rep Number*', which currently contains two entries: DPR300050737 and DPR300050744. A red box highlights this column, and a red arrow points from the text 'A new row is created.' to the first empty cell in the 'Rep Number*' column.

1. Click on the first empty cell under "Rep Number" and paste all the data copied from column B of the csv template (Ctrl + V).

2. Click anywhere outside the first cell, and system will create a new row for each representative.

4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET interface for bulk filing. At the top, there are links for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below that is a search bar with options for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The main content area is titled "Bulk Filing" and "Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative". It displays a step-by-step process: 1. Explanatory Notes, 2. Application (which is highlighted in blue), 3. Declarations and Confirmation, and 4. Preview. A table below shows records with columns for Validation Status, Rep Name, Rep Number, SFA Activities, and Complete all exam req - FAA. Each record has a trash bin icon next to it. A red circle highlights the "Retrieve Activities" button. A red arrow points from this button to a warning dialog box.

To delete a record, click on the trash bin icon beside the record.

1. Click on "Retrieve Activities" to auto-fill the rest of the form.

2. A warning message will appear as below. Please note any changes updated online will be reset every time the "Retrieve Activities" button is clicked.

3. Select "Yes" to proceed.



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4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET application interface. At the top, there are navigation links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a search bar. The user is logged in as 'ABC COMPANY PTE LTD' with the message 'Hello, IoT J2222 Last Logged in 13 September 2019 06:52 PM Singapore'. Below the navigation, there are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The main content area is titled 'Bulk Filing' and 'Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative'. A progress bar indicates steps 1 (Explanatory Notes), 2 (Application), 3 (Declarations and Confirmation), and 4 (Preview). The application table lists three rows of data:

	Validation Status	Rep Name	Rep Number *	Complete all exam req - SFA	SFA Activities	Complete all exam req - FAA
		DEMO PROV REP 1	DPR300050703	Y	<ul style="list-style-type: none">SCCFSCDCSCDS	
		DEMO PROV REP 2	DPR300050710	Y	<ul style="list-style-type: none">[SCCF] Advising on corporate finance[SCDC] Dealing in capital markets products that are units in a collective investment scheme[SCDS] Dealing in capital markets products that are securities	
		DEMO PROV REP 3	DPR300050720	Y	<ul style="list-style-type: none">SCCFSCDCSCDS	

A red circle highlights the 'Y' in the 'Complete all exam req - SFA' column for the second row. A red box highlights the 'SFA Activities' section for the second row, which contains a list of three items. A red arrow points from the text 'To delete the selected activity/activities, click on the "x" icon.' to the 'x' icons next to each item in the list.

This field will automatically change to "N" when any activity is deleted.



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4.3 Submission of Form 3D as an Approver (continued)

Number	Complete all exam req - SFA	SFA Activities	Complete all exam req - FFA
DPR300050709	Y	<ul style="list-style-type: none">- SOCF- SCDC- SCDS	
DPR300050710	N		<div style="border: 1px solid #ccc; padding: 5px;"><p>[SOCF] Advising on corporate finance</p><p>[SCDS] Dealing in capital markets products that are securities</p></div>
DPR300050720	Y	<ul style="list-style-type: none">- SOCF- SCDC- SCDS	
DPR300050737	Y	<ul style="list-style-type: none">- SOCF- SCDC- SCDS	
DPR300050744	Y	<ul style="list-style-type: none">- SOCF- SCDC- SCDS	

Warning Message

Please note the below warning:

Unselected activities will be ceased. The representative will not be allowed to conduct these activities upon publishing of this notification.

System will prompt a warning message when any activity is deleted.

Show Activity Legend **Save as Draft** **Previous Step** **Next Step** **Cancel**

Complete the fields accordingly and select "Next Step" to proceed.

4.3 Submission of Form 3D as an Approver (continued)

If there are no validation errors, it will proceed to the "Declarations and Confirmation" tab.

The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as Hello, I01 J2222, Last Logged in 13 September 2019, 08:52 PM Singapore. The main content area displays the 'Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative'. A progress bar at the bottom indicates steps 1 (Explanatory Notes), 2 (Application), 3 (Declarations and Confirmation), and 4 (Preview). Below the progress bar, there is a section titled 'Fit and Proper Certification' with two statements and checkboxes:

- is satisfied that the individual is not the subject of a bankruptcy petition or an undischarged bankrupt, in Singapore or elsewhere. *
- is satisfied that there is no conflict of interest, including any conflict arising from the individual's shareholdings and/or directorship(s). *

Select whether the FI is aware of any adverse information on the individuals.

The screenshot shows the 'Declarations and Confirmation' tab. It includes a section for 'Fit and Proper Certification' with two statements and checkboxes, and a section for selecting adverse information. Red arrows point from the text in the first section to the corresponding checkboxes in the declaration form, and another red arrow points from the text in the second section to the 'Select All' checkbox in the declaration form.

Please select one of the following two *:

S/No	Representative Name	is not aware of any adverse information on the individual Select All	is aware that the individual has adverse information which is assessed and nevertheless it considers that the individual meets the fit and proper criteria under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority. The principal undertakes to closely supervise and institute proper controls and systems to monitor the individual's activity/activities. Select All
1	DEMO PROV REP 1	<input checked="" type="radio"/>	<input type="radio"/>
2	DEMO PROV REP 2	<input checked="" type="radio"/>	<input type="radio"/>
3	DEMO PROV REP 3	<input checked="" type="radio"/>	<input type="radio"/>
4	DEMO PROV REP 4	<input checked="" type="radio"/>	<input type="radio"/>
5	DEMO PROV REP 5	<input checked="" type="radio"/>	<input type="radio"/>

is satisfied that the individual meets all the other requirements under the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] issued by the Authority. *

is aware that the due diligence conducted on the background of the individual named in this form shall be documented and properly kept as prescribed under section 99H(4) of the SFA and/or section 23F(4) of the FAA. *

Complete the fit and proper certification by ticking on the checkboxes. This would apply to all notifications under the bulk filing.



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4.3 Submission of Form 3D as an Approver (continued)

Select from drop down list or manually input the name of submitter.

Declaration

This notification is submitted on behalf of the Principal by *

Other Officer

Name of Director / Chief Executive/ Chief Executive Officer

Officer's Name * John Tan

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/activity or financial advisory service/services; and

b. the information contained in the above notification is to the best of my knowledge and belief true and correct.

Please note that the Authority may refuse a notification submitted on behalf of the Principal if the Principal fails to satisfy the Authority that the individual is fit and proper to perform the function of a representative in relation to the regulated activity/activity or provide financial advisory service/service.

Confirmation

The Principal,

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.*

confirms that the information submitted is true and correct.*

is aware that this form can only be submitted once. For examinations which were not indicated as having been completed by the provisional representative in this one-time notification to the Authority, the representative is required to cease the conduct of regulated activities relevant to those examinations.*

Save as Draft Previous Step Next Step Cancel

Select "Next Step" to proceed

Complete the confirmation by ticking on the checkboxes

4.3 Submission of Form 3D as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity - Service - Excellence". Below the header, the user is logged in as "Hello, Ic1 J2222" and last logged in on 13 September 2019 at 07:03 PM Singapore. Navigation links include Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK.

The main content area shows the user is filing under "ABC COMPANY PTE LTD". The "Representative Notification" tab is selected. Below it, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing", and "Generate Report".

The "Individual Filing" section displays the title "Form 3D: Notification of the Completion of Examination Requirements by a Provisional Representative". It features a step-by-step process with numbered circles: 1. Explanatory Notes, 2. Application, 3. Declarations and Confirmation, and 4. Preview. Buttons for "Expand All" and "Collapse All" are also present.

The "List of Representatives" section contains a table with columns "S/No" and "Name of Representative". The entries are:

S/No	Name of Representative
1	DEMO PROV REP 1
2	DEMO PROV REP 2
3	DEMO PROV REP 3
4	DEMO PROV REP 4
5	DEMO PROV REP 5

At the bottom of the page, there are buttons for "Previous Page", "Submit to MAS" (which is highlighted with a red oval), and "Cancel". There are also "Show 10 entries" and "Next" buttons.

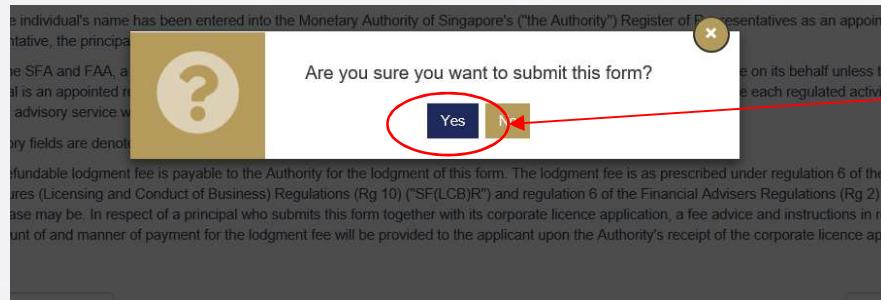
A red arrow points from the text "Select 'Submit to MAS' to submit the bulk notification to MAS." to the "Submit to MAS" button.

Select "Submit to MAS" to submit the bulk notification to MAS.



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4.3 Submission of Form 3D as an Approver (continued)



Select "Yes" to submit the bulk notification to MAS for review. After which, user will be directed to an acknowledgement screen.

A screenshot of the MASNET acknowledgement screen. It shows the MAS and MASNET logos at the top, followed by the company name "ABC COMPANY PTE LTD". The navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, Administration, Dashboard, and Bulk Filing. On the right, there's a user profile, a message "Hello, Io1 J2222. Last Logged in 13 September 2019 07:05 PM Singapore", and links for FAQ, CONTACT US, and FEEDBACK. The main content area displays a "Thank you!" message, "Your submission is being processed.", and a note: "You may check on the status of your submission shortly via your Dashboard." A "Done" button is located at the bottom right, with a red circle highlighting it.

Please note that the display of the acknowledgement screen does not mean that the submission is successful.

Click on "Done" to go back to the Dashboard.



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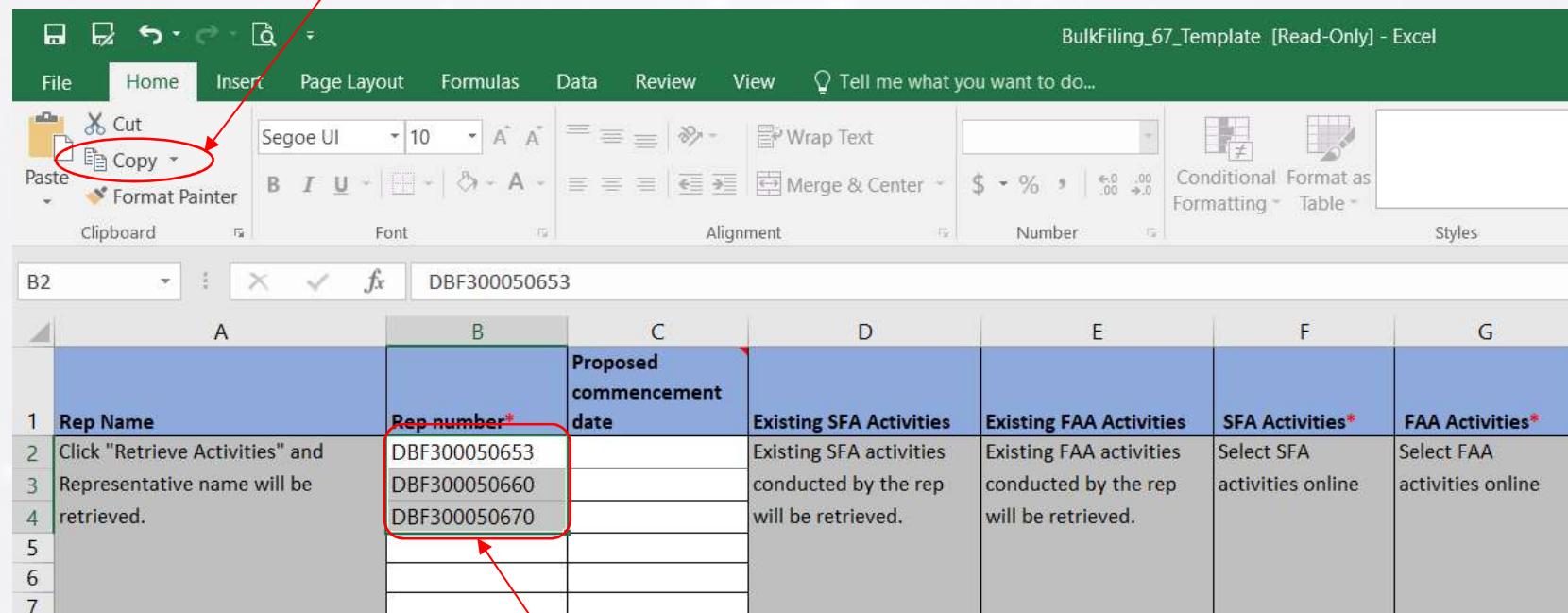
4.4 Submission of Form 6/7 (Bulk Filing)



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4.4 Submission of Form 6/7 as an Approver

2. Copy the data highlighted.



	A	B	C	D	E	F	G
1	Rep Name	Rep number*	Proposed commencement date	Existing SFA Activities	Existing FAA Activities	SFA Activities*	FAA Activities*
2	Click "Retrieve Activities" and Representative name will be retrieved.	DBF300050653		Existing SFA activities conducted by the rep will be retrieved.	Existing FAA activities conducted by the rep will be retrieved.	Select SFA activities online	Select FAA activities online
3		DBF300050660					
4		DBF300050670					
5							
6							
7							

1. After the user fills out the csv template, highlight the completed rows in columns B and/or C. You may leave out the greyed-out columns.

4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity • Service • Excellence". Below the logos, there are links for "FAQ", "CONTACT US", and "FEEDBACK".

The main header displays "ABC COMPANY PTE LTD". To the right, it shows a greeting "Hello, Io1 J2222", the last log-in details "Last Logged in 13 September 2019 07:35 PM Singapore", and a user profile icon.

The navigation menu includes "Home", "Representative Notification" (which is highlighted in blue), "Corporate Lodge", "Fees", and "Administration". Below the menu, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing", and "Generate Report".

A message below the menu reads: "Please select the appropriate form that describes the representative notification you are filing and click on the corresponding 📁 button to start the process of filing this notification. The associated template for the form can be downloaded by clicking on the corresponding ⚡ button."

Below this message is a search bar labeled "Search: Search Representative Notification Forms ...".

The main content area is a table listing forms:

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

A red arrow points to the "Bulk Filing" icon for Form 6/7, which is circled in red. A red annotation text "Click on this icon to submit Form 6/7." is placed near this circled icon.



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4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity · Service · Excellence". Below the header, the user is logged in as "Hello, lo1 J2222" and last logged in on "13 September 2019 at 07:36 PM Singapore". Navigation links include Home, Representative Notification (highlighted in blue), Corporate Lodge, Fees, Administration, FAQ, CONTACT US, and FEEDBACK.

The main content area shows the user is filing under "ABC COMPANY PTE LTD". Below this, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing", and "Generate Report". A "Bulk Filing" button is highlighted, and the page title is "Form 6/7: Notification to Add Activity/Activities of a Representative".

The process is divided into four steps:

- 1 Explanatory Notes (highlighted in blue)
- 2 Application
- 3 Declarations and Confirmation
- 4 Preview

Information for Submission:
Please have the following information ready for submission. It will take approximately 2 minutes to fill up the notification form.

- Proposed regulated activities; and
- Fit and proper certification.

Processing Time:
This notification will be processed in approximately 7 business days or on the proposed commencement date, whichever is later.

Instructions:

- 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.
- This notification is to be submitted by an authorised person of the individual's principal.
- This notification shall also be submitted where an appointed representative adds (i) one or more capital markets products in respect of which the representative carries on business in the regulated activity of dealing in capital markets products under the SFA; or (ii) one or more types of investment product in respect of which the representative provides any financial advisory service under the FAA.
- Mandatory fields are denoted with asterisk *.

At the bottom, there are "I Agree" and "Cancel" buttons. A red arrow points from the text "After reading through the explanatory notes, select "I Agree" to proceed." to the "I Agree" button.

After reading through the explanatory notes, select "I Agree" to proceed.



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4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) application interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with the Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'lo1 J2222' and last logged in on 13 September 2019 at 07:36 PM Singapore.

The main navigation bar includes Home, Representative Notification (selected), Corporate Lodgement, Fees, and Administration. Below the navigation bar are buttons for Search Notifications, New Individual Filing, New Bulk Filing (which is highlighted), and Generate Report.

The current page is titled 'Form 6/7: Notification to Add Activity/Activities of a Representative'. It displays a four-step process: 1. Explanatory Notes, 2. Application (which is active), 3. Declarations and Confirmation, and 4. Preview. Step 1 is circled in red, and an arrow points from the text 'Click on "Add new record" to add a new row.' to the 'Add new record' button.

The application form table has columns for Validation Status, Rep Name, Rep Number*, Proposed commencement date (with a 'Copy to All' button), Existing SFA Activities, and Existing FAA Activities. There are also buttons for '+ Add new record' and 'Retrieve Activities'.

Click on “Add new record” to add a new row.



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4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET application interface for ABC COMPANY PTE LTD. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The Representative Notification tab is selected. The user is logged in as 'Hello, lo1 J2222' last logged in on 13 September 2019 at 07:36 PM Singapore. Below the navigation, there are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A 'Bulk Filing' section is active, displaying 'Form 6/7: Notification to Add Activity/Activities of a Representative'. The process steps are: 1. Explanatory Notes, 2. Application (highlighted in blue), 3. Declarations and Confirmation, and 4. Preview. The application form table has columns for Validation Status, Rep Name, Rep Number*, Proposed commencement date, Existing SFA Activities, and Existing FAA Activities. A new row has been created under 'Rep Number*' with values DBF300050680 and DBF300050670. A red circle highlights this row, and a red arrow points from the text 'A new row is created.' to the first empty cell under 'Rep Number*'. Another red arrow points from the text '1. Click on the first empty cell under "Rep Number"' to the same cell.

A new row is created.

1. Click on the first empty cell under "Rep Number" and paste all the data copied from columns B and/or C of the csv template (Ctrl + V).

2. Click anywhere outside the first cell, and system will create a new row for each representative.

4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET interface for bulk filing. At the top, there are links for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below that is a search bar with options for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The main content area is titled "Bulk Filing" and "Form 6/7: Notification to Add Activity/Activities of a Representative". It features a step-by-step navigation bar with "Explanatory Notes", "Application" (which is active), "Declarations and Confirmation", and "Preview". A red arrow points from the "Retrieve Activities" button in the application step to the first point of note.

1. Click on "Retrieve Activities" to auto-fill the rest of the form.

To delete a record, click on the trash bin icon beside the record.

2. A warning message will appear as below. Please note any changes updated online will be reset every time the "Retrieve Activities" button is clicked.

3. Select "Yes" to proceed.

Warning Message:
Please note the previous selected activities will be reset. Do you want to continue?
Yes No

4.4 Submission of Form 6/7 as an Approver (continued)

				Proposed commencement date		
Validation Status	Rep Name	Rep Number *		Copy to All	Existing SFA Activities	Existing FAA Activi
	DEMO BULK FILING REP 1	DBF300050653			<ul style="list-style-type: none">• Advising on corporate finance - 13/09/2019• Dealing in capital markets products that are units in a collective investment scheme - 13/09/2019• Dealing in capital markets products that are securities - 13/09/2019	
	DEMO BULK FILING REP 2	DBF300050660			<ul style="list-style-type: none">• Advising on corporate finance - 13/09/2019• Dealing in capital markets products that are units in a collective investment scheme - 13/09/2019• Dealing in capital markets products that are securities - 13/09/2019	
	DEMO BULK FILING REP 3	DBF300050670			<ul style="list-style-type: none">• Advising on corporate finance - 13/09/2019• Dealing in capital markets products that are units in a collective investment scheme - 13/09/2019• Dealing in capital markets products that are securities - 13/09/2019	

Existing activity/ activities and other details of the rep will be displayed.

4.4 Submission of Form 6/7 as an Approver (continued)

				SFA Activities	Copy to All	FAA Activities	Copy to All
Validation Status	Rep Name						
<input type="checkbox"/> <input checked="" type="checkbox"/>	DEMO BULK FILING REP 1			<input type="checkbox"/> [SCCR] Providing credit rating services <input type="checkbox"/> [SCET] Dealing in capital markets products that are exchange-traded derivatives contracts <input type="checkbox"/> [SCLF] Dealing in capital markets products that are spot foreign exchange contracts for the purposes of leveraged foreign exchange trading			
<input type="checkbox"/> <input checked="" type="checkbox"/>	DEMO BULK FILING REP 2						
<input type="checkbox"/> <input checked="" type="checkbox"/>	DEMO BULK FILING REP 3						

+ Add new record Retrieve Activities

3 record(s) [Success - 0 / Error - 0 / Warning - 0]

Scroll to the last 2 columns of the table to select the activity/activities to add from the dropdown list.

4.4 Submission of Form 6/7 as an Approver (continued)

The activity code for the selected activity/activities will be displayed.

Complete the fields accordingly and select "Next Step" to proceed.

SCET
SCLF

Validation Status	Rep Name	Activities	SFA Activities	FAA Activities
✓	DEMO BULK FILING REP 1		[SCET] Dealing in capital markets products that are exchange-traded derivatives contracts	
✓	DEMO BULK FILING REP 2		[SCLF] Dealing in capital markets products that are spot foreign exchange contracts for the purposes of leveraged foreign exchange trading	
✓	DEMO BULK FILING REP 3			

Save as Draft Previous Step **Next Step** Cancel

4.4 Submission of Form 6/7 as an Approver (continued)

If there are no validation errors, it will proceed to the "Declarations and Confirmation" tab.

The screenshot shows the MASNET Bulk Filing interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET. The title bar says "ABC COMPANY PTE LTD". On the right, it shows "Hello, Iot1 J2222" and "Last Logged in 13 September 2019 07:36 PM Singapore". Below the title bar are navigation links: Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. A search bar and a user profile icon are also present. The main content area is titled "Bulk Filing" and "Form 6/7: Notification to Add Activity/Activities of a Representative". It shows a progress bar with four steps: 1. Explanatory Notes (done), 2. Application (done), 3. Declarations and Confirmation (selected), and 4. Preview (done). Below the progress bar, there is a section titled "Fit and Proper Certification". It contains three statements with checkboxes:

- "is satisfied that the representative is not the subject of a bankruptcy petition or an undischarged bankrupt, in Singapore or elsewhere."
- "is satisfied that there is no conflict of interest, including any conflict arising from the representative's shareholdings, directorship(s) and/or the representative's concurrent responsibilities in acting on behalf of more than one principal (where applicable)."
- "is satisfied that the representative meets all the requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09] issued by the Authority."

Select whether the FI is aware of any adverse information on the individuals.

This screenshot shows the "Declarations and Confirmation" step of the form. It asks the user to "Please select one of the following two":

is not aware of any adverse information on the individual Select All

Below this are three rows of data:

S/N	Representative Name	Radio Buttons
1	DEMO BULK FILING REP 1	<input checked="" type="radio"/> <input type="radio"/>
2	DEMO BULK FILING REP 2	<input checked="" type="radio"/> <input type="radio"/>
3	DEMO BULK FILING REP 3	<input checked="" type="radio"/> <input type="radio"/>

Red arrows point from the text "Complete the fit and proper certification by ticking on the checkboxes. This would apply to all notifications under the bulk filing." to the checkboxes in the first statement and to the radio buttons in this section.

Complete the fit and proper certification by ticking on the checkboxes. This would apply to all notifications under the bulk filing.



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4.4 Submission of Form 6/7 as an Approver (continued)

Select from drop down list or manually input the name of submitter.

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.

Please note that the Authority may refuse a notification submitted on behalf of an individual to carry on business in regulated activity/activities or provide financial advisory service/services if the individual and/or the Principal fails to satisfy the requirements of section 99H(1) of the SFA.

Complete the confirmation by ticking on the checkboxes

The Principal,

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.*

confirms that the information submitted is true and correct.*

Save as Draft Previous Step Next Step Cancel

4.4 Submission of Form 6/7 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) website. At the top, there are links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, lo1 J2222' from 'Last Logged in 13 September 2019 07:53 PM Singapore'. The main navigation bar includes options for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

The current page is 'Bulk Filing > Form 6/7: Notification to Add Activity/Activities of a Representative'. The process consists of four steps: 1. Explanatory Notes, 2. Application, 3. Declarations and Confirmation, and 4. Preview. Step 1 is currently selected. Below the steps, there is a note about mandatory fields and a list of representatives.

List of Representatives

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. This notification shall also be submitted where an appointed representative adds (i) one or more capital markets products in respect of which the representative carries on business in the regulated activity of dealing in capital markets products under the SFA; or (ii) one or more types of investment product in respect of which the representative provides any financial advisory service under the FAA.
4. Mandatory fields are denoted with asterisk *.*

Search: Show 10 entries

S/No	Name of Representative
1	DEMO BULK FILING REP 1
2	DEMO BULK FILING REP 2
3	DEMO BULK FILING REP 3

Previous 1 Next

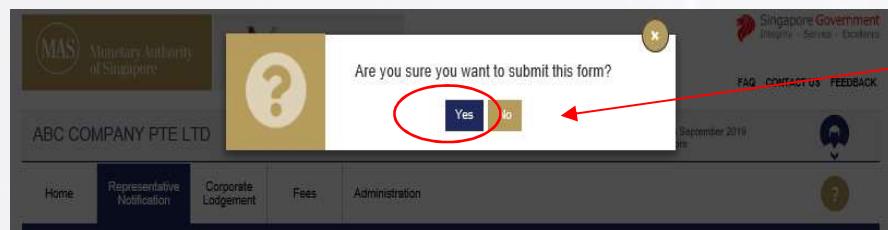
Select "Submit to MAS" to submit the bulk notification to MAS.

Previous Page Submit to MAS Cancel

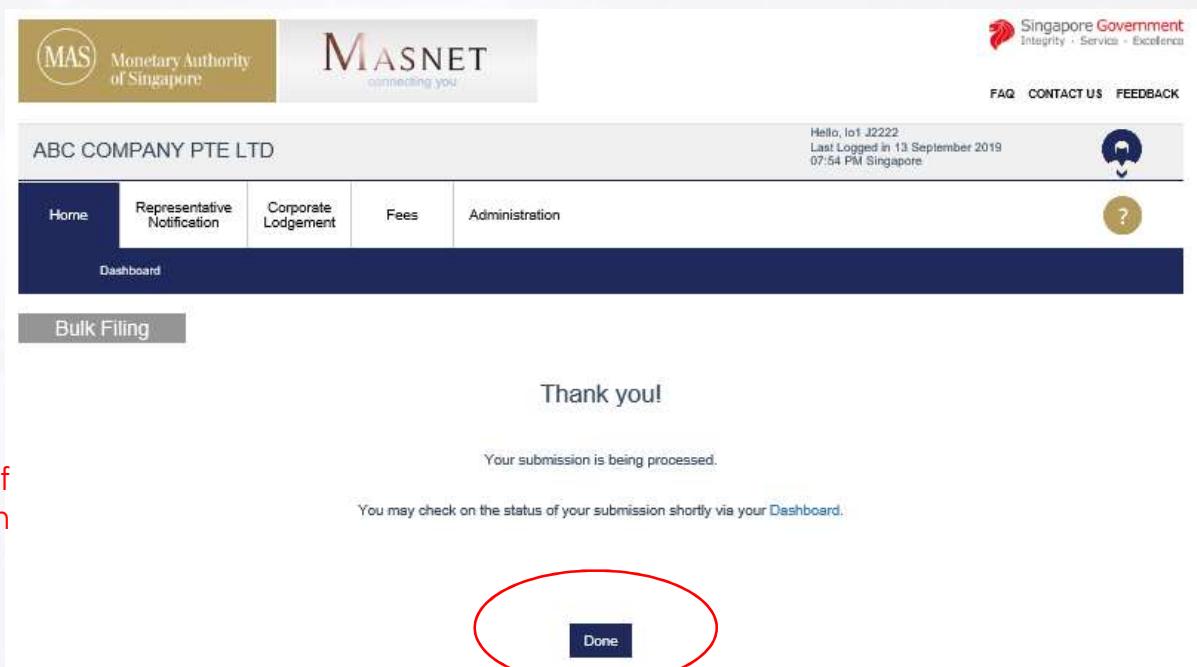


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4.4 Submission of Form 6/7 as an Approver (continued)



Select "Yes" to submit the bulk notification to MAS for review. After which, user will be directed to an acknowledgement screen.



Please note that the display of the acknowledgement screen does not mean that the submission is successful.

Click on "Done" to go back to the Dashboard.



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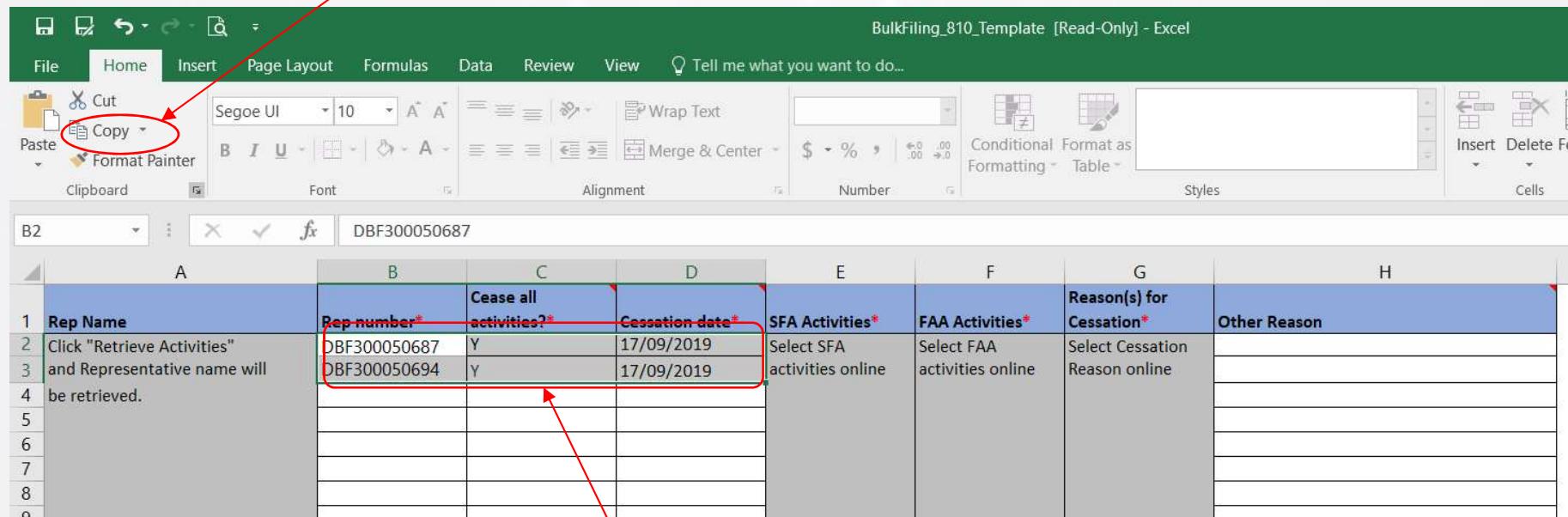
4.5 Submission of Form 8/10 (Bulk Filing)



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4.5 Submission of Form 8/10 as an Approver

2. Copy the data highlighted.



A	B	C	D	E	F	G	H
1	Rep Name	Rep number*	Cease all activities?*	Cessation date*	SFA Activities*	Reason(s) for Cessation*	Other Reason
2	Click "Retrieve Activities"	DBF300050687	Y	17/09/2019	Select SFA activities online	Select Cessation Reason online	
3	and Representative name will be retrieved.	DBF300050694	Y	17/09/2019			
4							
5							
6							
7							
8							
9							

1. After the user fills out the csv template, highlight the completed rows in columns B to D. You may leave out the greyed-out columns.

4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with the Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, IoT J2222' and last logged in on 13 September 2019 at 07:55 PM Singapore.

The main navigation bar includes links for Home, Representative Notification (which is highlighted in blue), Corporate Lodgement, Fees, and Administration. Below the navigation bar are buttons for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

A message instructs the user to select the appropriate form for representative notification and click the corresponding 'Start Filing' button to begin the process. It also mentions that download templates are available via the 'Download Template' button.

The table below lists various forms:

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	8/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

A red arrow points to the 'Bulk Filing' icon for Form 8/10, with the text 'Click here to access Form 8/10.' positioned next to it.

4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET interface for submitting a notification. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with a Singapore Government seal. The header also displays the user's name (Hello, lo1 J2222), last login date (18 September 2019 at 10:26 AM Singapore), and links for FAQ, CONTACT US, and FEEDBACK.

The main navigation bar includes Home, Representative Notification (which is selected), Corporate Lodgement, Fees, and Administration. Below this is a secondary navigation bar with links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

The current page is titled "Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities". A progress bar indicates four steps: 1. Explanatory Note (selected), 2. Application, 3. Declarations and Confirmation, and 4. Preview.

Information for Submission:
Please have the following information ready for submission. It will take approximately 2 minutes to fill up the notification form.

- Regulated activities to be ceased; and
- Effective date of cessation.

Processing Time:
This notification will be processed in approximately 2 business days or on the proposed cessation date, whichever is later.

Instructions:

- 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.
- This notification is to be submitted by an authorised person of the individual's principal.
- This notification shall also be submitted where an appointed representative ceases (i) one or more types of capital markets products in respect of which the representative carries on business in the regulated activity of dealing in capital markets products under the SFA; or (ii) one or more types of investment products in respect of which the representative provides any financial advisory service under the FAA.
- Mandatory fields are denoted with asterisk *.

Action Buttons:

A red circle highlights the "I Agree" button, with a red arrow pointing from the text below to the button. The "I Agree" button is located next to a "Cancel" button.

After reading through the explanatory notes, select "I Agree" to proceed.



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4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET application interface. At the top, there are links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a Help icon. Below this is a navigation bar with links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The main content area is titled "Bulk Filing" and "Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities". It displays a four-step process: 1. Explanatory Note, 2. Application (which is currently selected), 3. Declarations and Confirmation, and 4. Preview. A red circle highlights the "Add new record" button in the "Application" step's input area. A red arrow points from the text "Click on 'Add new record' to add a new row." to the "Add new record" button.

ABC COMPANY PTE LTD

Hello, lo1 J2222
Last Logged in 13 September 2019
07:58 PM Singapore

FAQ CONTACT US FEEDBACK

Home Representative Notification Corporate Lodgement Fees Administration ?

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

Bulk Filing Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities

1 Explanatory Note > 2 Application > 3 Declarations and Confirmation > 4 Preview >

+ Add new record Retrieve Activities

Validation Status Rep Name Rep Number * Cease all activities? * Cessation date Copy to All * SFA Activities *

Click on "Add new record" to add a new row.

4.5 Submission of Form 8/10 as an Approver (continued)

A new row is created.

	Validation Status	Rep Name	Rep Number.*	Cease all activities? *	Cessation date	Copy to All *	SFA Activities *
			Y 17/09/2019				

1. Click on the first empty cell under “Rep Number” and paste all the data copied from columns B to D of the csv template (Ctrl + V).
2. Click anywhere outside the first cell, and system will create a new row for each representative.



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4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET interface for bulk filing. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with the Singapore Government seal. The header includes the company name 'ABC COMPANY PTE LTD' and user information: 'Hello, Jo1 J2222', 'Last Logged in 13 September 2019 07:58 PM Singapore'. Navigation links include Home, Representative Notification, Corporate Lodge, Fees, Administration, FAQ, CONTACT US, and FEEDBACK.

The main content area is titled 'Bulk Filing' and displays 'Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities'. A progress bar shows steps 1 (Explanatory Note), 2 (Application), 3 (Declarations and Confirmation), and 4 (Preview). Step 2 is active.

Below the progress bar is a table with columns: Validation Status, Rep Name, Rep Number*, Cease all activities?*, Cessation date, Copy to All*, and SFA Activities*. Two records are listed:

Validation Status	Rep Name	Rep Number*	Cease all activities?*	Cessation date	Copy to All*	SFA Activities*
		DBF300050687	Y	17/09/2019		
		DBF300050694	Y	17/09/2019		

A red circle highlights the 'Retrieve Activities' button in the top right of the table row. Another red circle highlights the trash bin icon in the 'Validation Status' column of the first record. A red arrow points from the 'Validation Status' column of the first record to the 'trash bin icon' annotation.

To delete a record, click on the trash bin icon beside the record.

A modal window titled 'Please note the previous selected activities will be reset. Do you want to continue?' contains 'Yes' and 'No' buttons. A red circle highlights the 'Yes' button.

3. Select "Yes" to proceed.

4.5 Submission of Form 8/10 as an Approver (continued)

ABC COMPANY PTE LTD

Home Representative Notification Corporate Lodgement Fees Administration

Search Notifications | New Individual Filing | New Bulk Filing | Generate Report

Bulk Filing Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities

1 Explanatory Note > 2 Application > 3 Declarations and Confirmation > 4 Preview >

Validation Status	Rep Name	Rep Number *	Cease all activities? *	Cessation date	Copy to All *	SFA Activities *
<input type="checkbox"/> <input checked="" type="checkbox"/>	DEMO BULK FILING REP 4	DBF300050887	Y	17/09/2019	<input type="checkbox"/>	<ul style="list-style-type: none">+ SCCF+ SCDC+ SCDS
<input type="checkbox"/> <input checked="" type="checkbox"/>	DEMO BULK FILING REP 5	DBF300050894	Y	17/09/2019	<input type="checkbox"/>	<ul style="list-style-type: none">+ SCCF+ SCDC+ SCDS

2 record(s) [Success - 0 / Error - 0 / Warning - 0]

Show Activity Legend Save as Draft Previous Step Next Step Cancel

Details of reps are retrieved.

All activities will be retrieved if user select "Y" in "Cease all activities" field.

4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET interface for submitting Form 8/10. The top navigation bar includes the MAS logo, MASNET branding, and a Singapore Government logo. The main header displays 'ABC COMPANY PTE LTD'. The navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, Administration, and links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The current step is 'Application' (Step 2). A red box highlights the 'Reason(s) for Cessation' dropdown menu, which lists several options: 'Criminal conviction or civil settlement for acts involving fraud, dishonesty or other offences of a similar nature', 'Failure to maintain persistency standards (Applicable to FAA Only)', 'Failure to meet sales quota (Applicable to FAA Only)', and 'Resigned while under investigation, or terminated for, serious misconduct that has material impact on the interest of the client, or which impinges on the fitness'.

ABC COMPANY PTE LTD

Home Representative Notification Corporate Lodgement Fees Administration

Search Notifications New Individual Filing New Bulk Filing Generate Report

Bulk Filing Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities

1 Explanatory Note 2 Application 3 Declarations and Confirmation 4 Preview

+ Add new record Retrieve Activities

	Validation Status	Rep Name	Reason(s) for Cessation	Other Reason
<input type="button" value="Delete"/>	<input checked="" type="checkbox"/> View Error	DEMO BULK FILING REP 4	Criminal conviction or civil settlement for acts involving fraud, dishonesty or other offences of a similar nature	
<input type="button" value="Delete"/>	<input checked="" type="checkbox"/> View Error	DEMO BULK FILING REP 5	Failure to maintain persistency standards (Applicable to FAA Only) Failure to meet sales quota (Applicable to FAA Only) Resigned while under investigation, or terminated for, serious misconduct that has material impact on the interest of the client, or which impinges on the fitness	

Scroll to the last 2 columns of the table to select reason(s) for cessation from dropdown list.



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4.5 Submission of Form 8/10 as an Approver (continued)

If there are no validation errors, it will proceed to the "Declarations and Confirmation" tab.

The screenshot shows the MASNET application interface. At the top, the MAS logo and 'MASNET connecting you' are visible. The header includes the Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, Jo1 J2222' from 'ABC COMPANY PTE LTD'. The navigation bar has tabs for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below the navigation is a search bar with options: Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. A 'Bulk Filing' button is highlighted. The main content area shows the 'Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities' process. Step 1 (Explanatory Note) and Step 2 (Application) are shown as completed. Step 3 (Declarations and Confirmation) is currently active, indicated by a blue background and bold text. Step 4 (Preview) is shown as the next step. A red arrow points to the 'Officer's Name' input field, which contains 'John Tan'. Another red arrow points to the 'Declaration' section where the principal's declaration is being made. A third red arrow points to the 'Next Step' button at the bottom right of the declarations section.

1. Select from drop down list or manually input the name of submitter.

2. Complete the fit and proper certification by ticking on the checkboxes.

3. Select "Next Step" to proceed



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4.5 Submission of Form 8/10 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with a Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, lo1 J2222' last logged in on 13 September 2019 at 08:00 PM Singapore.

The main navigation bar includes Home, Representative Notification (which is selected), Corporate Lodgement, Fees, and Administration. Below the navigation bar are buttons for Search Notifications, New Individual Filing, New Bulk Filing (which is highlighted), and Generate Report.

The current page is titled 'Bulk Filing' and displays 'Form 8 / Form 10: Notification For The Cessation Of a Representative In Any Or All Of The Regulated Activities'. It shows a step-by-step process with four numbered steps: 1. Explanatory Notes, 2. Application, 3. Declarations and Confirmation, and 4. Preview. Buttons for 'Expand All' and 'Collapse All' are also present.

The 'List of Representatives' section contains a table with two entries:

S/No	Name of Representative
1	DEMO BULK FILING REP 4
2	DEMO BULK FILING REP 5

Below the table, there are search and pagination controls: 'Search:' with a text input, 'Show 10 entries', 'Previous' and 'Next' buttons, and a total page indicator '1'.

A red callout arrow points from the text 'Select "Submit to MAS" to submit the bulk notification to MAS.' to the 'Submit to MAS' button at the bottom of the page. The 'Submit to MAS' button is highlighted with a red oval.

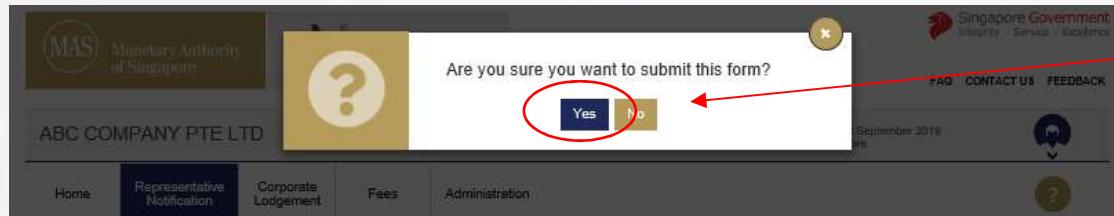
At the bottom left, there is a MAS logo and the word 'CONFIDENTIAL'. At the bottom right, the slide number is 'Slide 84 of 111'.



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Slide 84 of 111

4.5 Submission of Form 8/10 as an Approver (continued)



Select "Yes" to submit the bulk notification to MAS for review. After which, user will be directed to an acknowledgement screen.

A screenshot of the MASNET system interface after submission. At the top, it shows the MAS logo, 'Monetary Authority of Singapore', and the MASNET logo ('MASNET connecting you'). On the right, there's a welcome message 'Hello, lo1 J2222' and log-in information 'Last Logged in 13 September 2019 08:09 PM Singapore'. Below this is another navigation bar with 'Home', 'Representative Notification', 'Corporate Lodgement', 'Fees', 'Administration', and a question mark icon. The main content area has a dark blue header with 'Dashboard' and 'Bulk Filing' buttons. The 'Bulk Filing' button is highlighted with a red oval and a red arrow pointing to it. The main body of the page displays a message: 'Thank you!', 'Your submission is being processed.', and 'You may check on the status of your submission shortly via your Dashboard.' At the bottom right, there's a 'Done' button, which is also highlighted with a red oval and a red arrow pointing to it.

Please note that the display of the acknowledgement screen does not mean that the submission is successful.



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4.6 Submission of Form 16/18 (Bulk Filing)



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4.6 Submission of Form 16/18 as an Approver

Things to note for bulk filing of Form 16/18:

1. Bulk filing of Form 16/18 only allows changes of email addresses to cater to situation where email addresses need to be updated in bulk. For example, when there is a change to the email domain. For change of other particulars, please use individual filing.
2. System will replace the representative's records with data submitted in Form 16/18. As such, where there is no change to either the main email address or alternate email address, please fill in the existing email address in the relevant field in the csv template nonetheless.

Existing main email	Existing alt email	New main email	New alt email
No change	Update	Enter <u>existing</u> email address	Enter <u>new</u> email address
No change	Remove	Enter <u>existing</u> email address	Leave empty
Update	No change	Enter <u>new</u> email address	Enter <u>existing</u> email address

4.6 Submission of Form 16/18 as an Approver (continued)

2. Copy the data highlighted.

A	B	C	D	E
1 Rep Name	Rep number*	Main Email	Alternate Email	Effective Date*
2 Click "Retrieve Rep Name" and Representative name will be retrieved based on the provided Rep number.	DPR300050703	email111@email.com	15/09/2019	
	DPR300050710	email2@email.com	15/09/2019	
	DPR300050720	email3@email.com	15/09/2019	
	DPR300050737	email4@email.com	15/09/2019	
	DPR300050744	email55@email.com	15/09/2019	

1. After the user fills up the csv template,
highlight the completed rows in columns B to E.
You may leave out the greyed-out columns.

4.6 Submission of Form 16/18 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). On the right, there is a Singapore Government logo with the tagline "Integrity • Service • Excellence". Below the header, the user is logged in as "Hello, lo1 J2222" and last logged in on 13 September 2019 at 08:16 PM Singapore. The main navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a Help icon (?). Below the menu, there are links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

Please select the appropriate form that describes the representative notification you are filing and click on the corresponding button to start the process of filing this notification. The associated template for the form can be downloaded by clicking on the corresponding button.

Search:

S/No.	Form	Description	Download Template	Bulk Filing
1	3A	Notification for the Appointment of an Appointed Representative		
2	3B	Notification for the Appointment of a Provisional Representative		
3	3C	Notification for the Appointment of a Temporary Representative		
4	3D	Notification of the Completion of Examination Requirements by a Provisional Representative		
5	6/7	Notification to Add Activity(ies) of a Representative		
6	8/10	Notification for the Cessation of a Representative in Any or All of the Regulated Activities		
7	16/18	Notification to Change Particulars for a Representative		

A red arrow points from the text "Click here to access Form 16/18." to the "Bulk Filing" icon for Form 16/18, which is circled in red.



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4.6 Submission of Form 16/18 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) website interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET. The top right corner shows the user's name (Hello, jo1 J2222), the last login date (13 September 2019), and the time (08:31 PM Singapore). The top navigation bar includes links for FAQ, CONTACT US, and FEEDBACK.

The main content area is titled "ABC COMPANY PTE LTD". Below it, a navigation menu includes Home, Representative Notification (which is selected), Corporate Lodgement, Fees, and Administration. Underneath this is a secondary navigation bar with links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

The central part of the page is titled "Bulk Filing" and "Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative". It features a step-by-step process with four numbered steps: 1. Explanatory Notes (selected), 2. Application, 3. Declarations and Confirmation, and 4. Preview.

Under "Information for Submission", it says: "Please have the following information ready for submission. It will take approximately 10 minutes to fill up the notification form." followed by a bulleted list:

- Personal particulars of the representative (example: representative number, NRIC, passport, employment pass, contact number, etc);
- Proposed regulated activities;
- Proposed commencement date; and
- Fit and proper certification.

Under "Processing Time", it states: "This notification will be processed in approximately 2 business days or on the effective date, whichever is later."

At the bottom, there is a list of instructions:

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 *.*.

A red annotation on the left side of the page reads: "After reading through the explanatory notes, select 'I Agree' to proceed." A red arrow points from this text to the "I Agree" button in the bottom right corner of the screenshot, which is highlighted with a red circle.



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4.6 Submission of Form 16/18 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). To the right, there is a Singapore Government logo with the tagline 'Integrity • Service • Excellence'. Below the logos, the user is identified as 'Hello, lo1 J2222' and 'Last Logged in 13 September 2019 08:31 PM Singapore'. Navigation links include Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK.

The main content area displays a navigation bar with tabs: Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. Below this, a sub-navigation bar shows 'Bulk Filing' and 'Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative'.

The main form area has four steps: 1. Explanatory Notes, 2. Application (which is active), 3. Declarations and Confirmation, and 4. Preview. Step 2 is highlighted in blue. A red circle highlights the 'Add new record' button in the first row of the data table. A red arrow points from the text 'Click on "Add new record" to add a new row.' to the 'Add new record' button.

Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative

1 Explanatory Notes > 2 Application > 3 Declarations and Confirmation > 4 Preview

+ Add new record Retrieve Rep Name

Validation Status	Rep Name	Rep Number *	Main Email	Alternate Email	Effective Date	Copy to /

Click on "Add new record" to add a new row.

4.6 Submission of Form 16/18 as an Approver (continued)

A new row is created.

Validation Status	Rep Name	Rep Number *	Main Email	Alternate Email	Effective Date	Copy to...
		ail.com 15/09/2019				

1. Click on the first empty cell under "Rep Number" and paste all the data copied from columns B to E of the csv template (Ctrl + V).
2. Click anywhere outside the first cell, and system will create a new row for each representative.

4.6 Submission of Form 16/18 as an Approver (continued)

The screenshot shows the MASNET interface for 'ABC COMPANY PTE LTD'. The top navigation bar includes links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, FAQ, CONTACT US, and FEEDBACK. The main content area is titled 'Bulk Filing' and 'Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative'. A progress bar at the top indicates four steps: 1. Explanatory Notes, 2. Application (highlighted in blue), 3. Declarations and Confirmation, and 4. Preview. Below the progress bar is a table with columns for Validation Status, Rep Name, Rep Number, Main Email, Alternate Email, and Effective Date. The 'Rep Name' column contains five entries: DPR300050703, DPR300050710, DPR300050720, DPR300050737, and DPR300050744, each with a trash bin icon to its left. A red circle highlights the 'Retrieve Rep Name' button in the table header, and a red arrow points from this circle to the text 'Click on "Retrieve Rep Name" to auto-fill the name of the representatives.' A red oval also highlights the trash bin icon in the first row.

Validation Status	Rep Name	Rep Number *	Main Email	Alternate Email	Effective Date
		DPR300050703		email111@email.com	15/09/2019
		DPR300050710	email2@email.com	email222@email.com	15/09/2019
		DPR300050720	email3@email.com		15/09/2019
		DPR300050737	email4@email.com	email444@email.com	15/09/2019
		DPR300050744	email55@email.com		15/09/2019

To delete a record, click on the trash bin icon beside the record.

Click on "Retrieve Rep Name" to auto-fill the name of the representatives.

4.6 Submission of Form 16/18 as an Approver (continued)

ABC COMPANY PTE LTD

Home Representative Notification Corporate Lodgement Fees Administration

Search Notifications New Individual Filing New Bulk Filing Generate Report

Bulk Filing Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative

1 Explanatory Notes 2 Application 3 Declarations and Confirmation 4 Preview

Validation Status	Rep Name	Rep Number *	Main Email	Alternate Email	Effective Date	Copy to /
[View Error]	DEMO PROV REP 1	DPR300050703	email111@email.com		15/09/2019	
[View Success]	DEMO PROV REP 2	DPR300050710	email222@email.com		15/09/2019	
[View Success]	DEMO PROV REP 3	DPR300050720	email3@email.com		15/09/2019	
[View Success]	DEMO PROV REP 4	DPR300050737	email4@email.com	email444@email.com	15/09/2019	
[View Warning]	DEMO PROV REP 5	DPR300050744	email55@email.com		15/09/2019	

5 record(s) [Success - 3 / Error - 1 / Warning - 1]

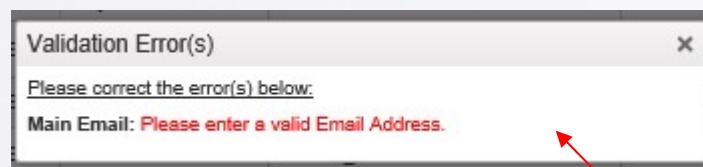
Save as Draft Previous Step Next Step Cancel

Representative names are retrieved.

Complete the fields accordingly and select "Next Step" to proceed.

4.6 Submission of Form 16/18 as an Approver (continued)

System will prompt an error message when the main email field is empty. The main email field cannot be left blank.

A screenshot of a table with columns: Validation Status, Rep Name, Rep Number *, Main Email, Alternate Email, and Effective Date. The table lists five records. The first record has a red circle around the "View Error" link in the Validation Status column. The fifth record has a red circle around the "View Warning" link in the Validation Status column.

Validation Status	Rep Name	Rep Number *	Main Email	Alternate Email	Effective Date
View Error	DEMO PROV REP 1	DPR300050703		email111@email.com	15/09/2019
	DEMO PROV REP 2	DPR300050710	email2@email.com	email222@email.com	15/09/2019
	DEMO PROV REP 3	DPR300050720	email3@email.com		15/09/2019
View Warning	DEMO PROV REP 4	DPR300050737	email4@email.com	email444@email.com	15/09/2019
	DEMO PROV REP 5	DPR300050744	email55@email.com		15/09/2019

System will prompt a warning message when there is an existing alternate email address and this field is left empty. Ignore the warning message if the intent is to remove alternate email address.



4.6 Submission of Form 16/18 as an Approver (continued)

If there are no validation errors, it will proceed to the "Declarations and Confirmation" tab.

The screenshot shows the MASNET (Monetary Authority of Singapore Network) interface. At the top, the MAS logo and 'MASNET connecting you' are visible. The header includes the Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The user is logged in as 'Hello, Io1 J2222' with a last log-in date of 13 September 2019 at 08:40 PM Singapore. The navigation bar shows 'ABC COMPANY PTE LTD' and links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. Below this is a breadcrumb trail: Bulk Filing > Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative. A progress bar indicates steps 1 (Explanatory Notes), 2 (Application), 3 (Declarations and Confirmation), and 4 (Preview). Step 3 is currently active. Below the progress bar, a section titled 'Fit and Proper Certification' contains a statement about the individual's background and responsibilities. Two checkboxes are present, both of which are checked (indicated by green checkmarks). A red arrow points from the text 'Complete the fit and proper certification by ticking on the checkboxes. This would apply to all notifications under the bulk filing.' to the second checkbox.

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 individuals 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.

Complete the fit and proper certification by ticking on the checkboxes. This would apply to all notifications under the bulk filing.



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4.6 Submission of Form 16/18 as an Approver (continued)

Declaration

This notification is submitted on behalf of the Principal by *

Other Officer

Name of Director / Chief Executive / Chief Executive Officer

Officer's Name * John Tan

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,

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. *

confirms that the information submitted is true and correct. *

Save as Draft **Previous Step** **Next Step** **Cancel**

Select from drop down list or manually input the name of submitter.

Complete the confirmation by ticking on the checkboxes

Select "Next Step" to proceed

4.6 Submission of Form 16/18 as an Approver (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore Network) interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with a Singapore Government logo and links for FAQ, CONTACT US, and FEEDBACK. The top navigation bar includes Home, Representative Notification (which is selected), Corporate Lodgement, Fees, and Administration. Below the navigation bar are buttons for Search Notifications, New Individual Filing, New Bulk Filing (which is highlighted), and Generate Report.

The main content area is titled "Bulk Filing" and "Form 16(SFA)/Form 18(FAA) Notification to Change Particulars for a Representative". It shows a step-by-step process: 1. Explanatory Notes, 2. Application, 3. Declarations and Confirmation, and 4. Preview. Buttons for "Expand All" and "Collapse All" are also present.

Under the "List of Representatives" section, there is a search bar and a dropdown menu to "Show 10 entries". A table lists five representatives with their names: DEMO PROV REP 1, DEMO PROV REP 2, DEMO PROV REP 3, DEMO PROV REP 4, and DEMO PROV REP 5.

At the bottom right, there are buttons for "Previous Page", "Submit to MAS" (which is circled in red), and "Cancel". A red arrow points from the text "Select 'Submit to MAS' to submit the bulk notification to MAS." to the "Submit to MAS" button.

Select "Submit to MAS" to submit the bulk notification to MAS.



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4.6 Submission of Form 16/18 as an Approver (continued)



Select "Yes" to submit the bulk notification to MAS for review. After which, user will be directed to an acknowledgement screen.

A screenshot of the MASNET dashboard after submission. The top header includes the MAS logo, "MASNET connecting you", and a Singapore Government logo. The dashboard shows the company name "ABC COMPANY PTE LTD" and a message area. The message area says "Thank you!", "Your submission is being processed.", and "You may check on the status of your submission shortly via your Dashboard." A "Done" button is highlighted with a red oval and arrow at the bottom right of the message area.

Click on "Done" to go back to the Dashboard.

Please note that the display of the acknowledgement screen does not mean that the submission is successful.



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4.7 Withdrawal of Notification (Bulk Filing)



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4.7 Withdraw a Submitted Notification

*Function only available to Approver

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET logo, and the Singapore Government logo with the tagline 'Integrity • Service • Excellence'. The user is logged in as 'Hello, Io1 J2222' and last logged in on 13 September 2019 at 12:48 PM Singapore. The dashboard menu includes Home, Representative Notification, Corporate Lodgement, Fees, Administration, Dashboard (selected), and a help icon.

The Representative Notifications section displays the following counts:

Status	Count
Draft	0
Pending Action	1
Submitted	5
Published	0
Returned by Approver	0

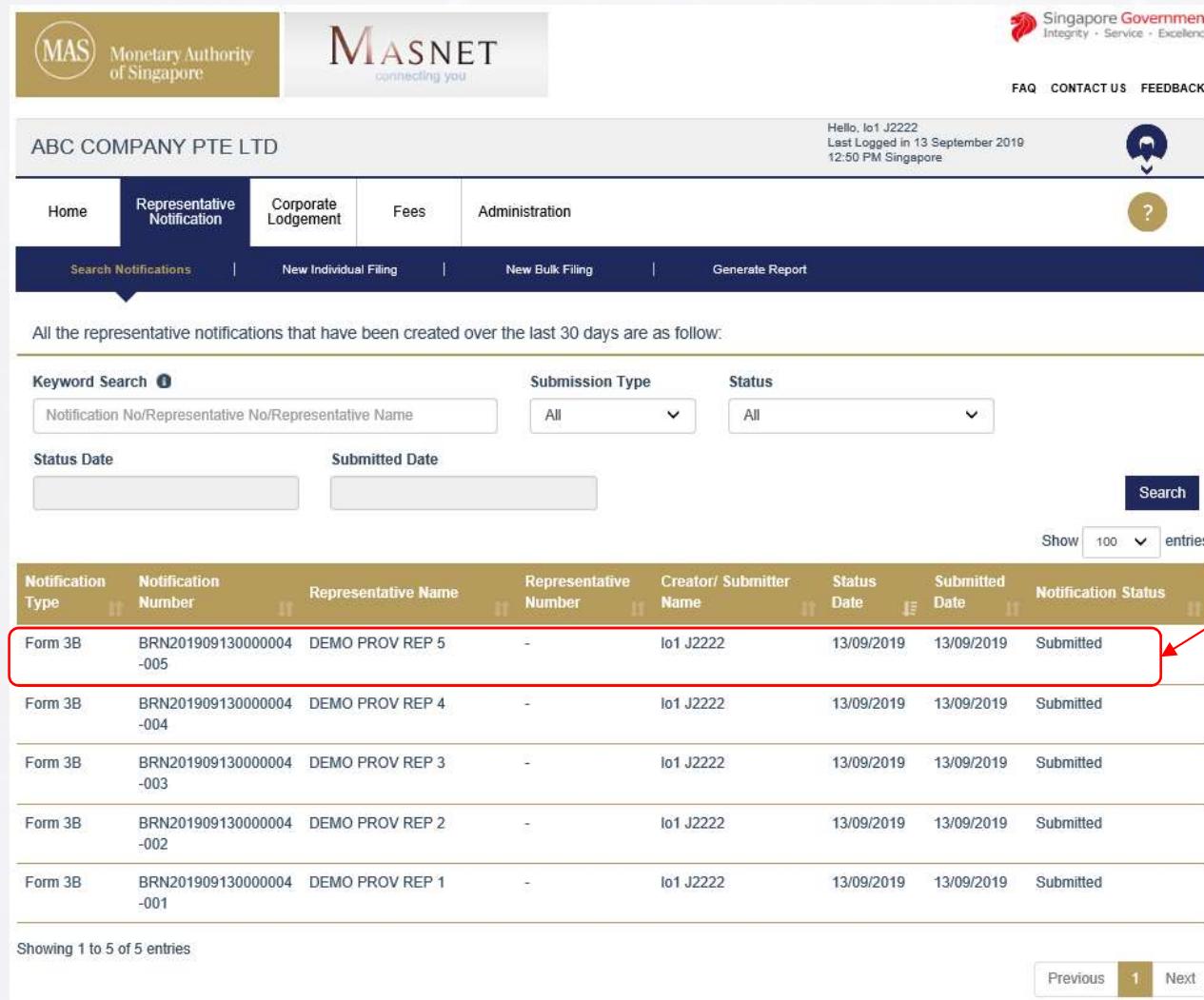
An 'Overview Level' dropdown is set to 'Approver View' and a 'Time Period' selector shows '07/Sep/2019 - 13/Sep/2019'. A 'UPDATE DASHBOARD' button is also present.

Click on the "Submitted" tile on the Dashboard to view notifications with status of "Submitted".



4.7 Withdraw a Submitted Notification (continued)

*Function only available to Approver



The screenshot shows the MASNET interface for ABC COMPANY PTE LTD. At the top, there are navigation links for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below these are search links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report. The main content area displays a table of submitted notifications. The table has columns for Notification Type, Notification Number, Representative Name, Representative Number, Creator/ Submitter Name, Status Date, Submitted Date, and Notification Status. One row in the table is highlighted with a red box and a red arrow points to it, indicating it is selected for withdrawal.

Notification Type	Notification Number	Representative Name	Representative Number	Creator/ Submitter Name	Status Date	Submitted Date	Notification Status
Form 3B	BRN20190913000004 -005	DEMO PROV REP 5	-	Io1 J2222	13/09/2019	13/09/2019	Submitted
Form 3B	BRN20190913000004 -004	DEMO PROV REP 4	-	Io1 J2222	13/09/2019	13/09/2019	Submitted
Form 3B	BRN20190913000004 -003	DEMO PROV REP 3	-	Io1 J2222	13/09/2019	13/09/2019	Submitted
Form 3B	BRN20190913000004 -002	DEMO PROV REP 2	-	Io1 J2222	13/09/2019	13/09/2019	Submitted
Form 3B	BRN20190913000004 -001	DEMO PROV REP 1	-	Io1 J2222	13/09/2019	13/09/2019	Submitted

The notifications submitted via Bulk Filing are split into individual notifications after submission. The notifications can only be withdrawn one at a time. Click on the notification to select.



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4.7 Withdraw a Submitted Notification (continued)

*Function only available to Approver

The screenshot shows the MASNET interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with the Singapore Government logo. The main navigation menu includes Home, Representative Notification, Corporate Lodgement, Fees, Administration, Dashboard, and a help icon. The user is logged in as 'Hello, lo1 J2222' from '13 September 2019 12:42 PM Singapore'. The current page is 'Individual Filing' under 'Form 3B: Notification for the Appointment of a Provisional Representative'. The page displays several fields: 'Full name of company, henceforth referred to in the rest of the form as "the Principal"' (ABC Company Pte Ltd), 'Has the individual carried on business in regulated activity/activityies under the SFA and/or provided financial advisory service/services under the FAA on or after 26/11/2010?' (No), 'Name as reflected in NRIC / FIN / Passport' (DEMO PROV REP 5), and 'State the representative's relationship with the Principal' (Employee). Below these, under 'Personal Information', it says 'Set out the personal particulars of the individual below.' At the bottom, there is a section titled 'Completion of Examination Requirements' with three statements. The first statement is checked: 'is aware that the individual who is the subject of this notification must satisfy all examination requirements under the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [Notice No. SFA 04-N09] issued by the Authority within three months from the date of successful notification for a provisional representative; and'. The second statement is checked: 'is aware that it must notify the Authority of the completion of the examination requirements within three months from the date of successful notification for a provisional representative, in order for the provisional representative to continue carrying out regulated activities/financial advisory services; and'. The third statement is checked: 'agrees that the Authority will cease the "Provisional" status of the provisional representative should the individual fail to satisfy the examination requirements and inform MAS within three months; and the Principal will ensure that the provisional representative ceases all regulated activity/activityies and/or financial advisory service/services immediately.' A red callout box highlights the 'Withdraw' button at the bottom right of this section.

Open the notification and select the "Withdraw" button to proceed.

Main email address: email5@email.com

Withdraw Cancel



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4.7 Withdraw a Submitted Notification (continued)

*Function only available to Approver

The representative would withdraw the following activity/activities :

Under the SFA

1. Select the activity/activities to withdraw.

<input type="checkbox"/>	Activities
<input type="checkbox"/>	Advising on corporate finance
<input type="checkbox"/>	Dealing in capital markets products that are units in a collective investment scheme
<input type="checkbox"/>	Dealing in capital markets products that are securities

Reason (max. 4000 character) *

2. Input the reason for withdrawal.

3. Select "Withdraw" to proceed.

Withdraw Cancel



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4.7 Withdraw a Submitted Notification (continued)

*Function only available to Approver

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, the MASNET logo, and the Singapore Government logo with the tagline "Integrity • Service • Excellence". The main menu has links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a question mark icon. The user is logged in as "Hello, lo1 J2222" and last logged in on 13 September 2019 at 03:44 PM Singapore. A blue banner at the bottom indicates the user is a "Approver". The main content area is titled "Withdrawal Acknowledgement". It displays the following information:

Representative Name:	DEMO PROV REP 5
Notification Number:	BRN201909130000004-005
Withdrawal Submission Date:	13/09/2019
Reason:	to withdraw all activities

You have submitted withdrawal request for the following activities:

Act Code	Activites
SFA	Advising on corporate finance
SFA	Dealing in capital markets products that are units in a collective investment scheme
SFA	Dealing in capital markets products that are securities

A red annotation on the right side of the screen states: "An acknowledgement screen will be displayed."



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4.8 Deletion of Draft (Bulk Filing)



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4.8 Delete a Draft

The screenshot shows the MASNET dashboard for ABC COMPANY PTE LTD. The top navigation bar includes the MAS logo, MASNET branding, and Singapore Government logos. The main menu has links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a help icon. The dashboard displays five colored tiles representing notification counts:

Status	Count
Draft	1
Pending Action	0
Submitted	10
Pending Approval	0
Published	0

A red box highlights the 'Draft' tile, and a red arrow points from the text below to it. On the right, there are dropdowns for 'Overview Level' (set to 'Creator View') and 'Time Period' (set to '07/Sep/2019 - 13/Sep/2019'), and a 'UPDATE DASHBOARD' button.

Click on the “Draft” tile on the Dashboard to view notifications with status of “Draft”.

4.8 Delete a Draft (continued)

The screenshot shows the MASNET interface for managing representative notifications. At the top, there are navigation links for Home, Representative Notification, Corporate Lodgement, Fees, and Administration. Below these are search functions for Notifications, Individual Filing, Bulk Filing, and Report generation. The main content area displays a list of notifications created over the last 30 days. One specific notification is highlighted with a red border and a red arrow pointing to it, indicating it is selected for deletion.

Notification Type	Notification Number	Representative Name	Representative Number	Creator/Submitter Name	Status Date	Submitted Date	Notification Status
Form 3A	DBRN2019091300000 01	-	-	lo1 J2222	13/09/2019	-	Draft

Click on the notification to select.



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4.8 Delete a Draft (continued)

The screenshot shows the MASNET (Monetary Authority of Singapore) interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET (connecting you). The header includes a user greeting "Hello, i01 J2222", a log-in timestamp "Last Logged in 13 September 2019 01:27 PM Singapore", and links for "FAQ", "CONTACT US", and "FEEDBACK". Below the header, the company name "ABC COMPANY PTE LTD" is displayed. The main navigation menu includes "Home", "Representative Notification", "Corporate Lodgement", "Fees", and "Administration". Below the menu, there are buttons for "Search Notifications", "New Individual Filing", "New Bulk Filing", and "Generate Report". A "Bulk Filing" button is highlighted. The main content area is titled "Form 3A: Notification for the Appointment of an Appointed Representative". It shows a progress bar with four steps: 1. Explanatory Notes (highlighted), 2. Application, 3. Declarations and Confirmation, and 4. Preview. Step 1 has a sub-section titled "Information for Submission" which lists requirements for submission. Step 1 also contains a list of instructions numbered 1 through 6. At the bottom of the form, there are two buttons: "I Agree" (circled in red) and "Next".

Only users with the same role as the user who created the draft notification are able to delete a notification in “Draft” status. As such, Approver is unable to delete a draft created by Creator, and vice versa.

If the notification is in “Pending Approval” status, the Creator will not be able to delete the notification. In this situation, the Approver needs to return the notification to the Creator. Then any user with Creator role can delete the notification in “Returned by Approver” status.

After reading through the explanatory notes, select “I Agree” to proceed.



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4.8 Delete a Draft (continued)

The screenshot shows the MASNET application interface. At the top, there are logos for MAS (Monetary Authority of Singapore) and MASNET, along with a Singapore Government seal. The header includes a user greeting "Hello, Jef J2222", the date "Last Logged in 13 September 2019", and the time "01:27 PM Singapore". Below the header, there are navigation links for Home, Representative Notification, Corporate Lodgement, Fees, Administration, and a search bar. A dark blue navigation bar at the bottom of the page contains links for Search Notifications, New Individual Filing, New Bulk Filing, and Generate Report.

The main content area displays a "Bulk Filing" section for "Form 3A: Notification for the Appointment of an Appointed Representative". It shows a step-by-step process with four steps: 1. Explanatory Notes, 2. Application (which is currently active), 3. Declarations and Confirmation, and 4. Preview. Below the steps is a table with columns for Validation Status, Rep Name, A rep on or after 26/11/2010?, Rep Number, Employee/ self-employed?, Main Email, and Altern. The table contains five rows of data, each representing a representative entry. The last row is labeled "REP 5".

At the bottom of the table, a message states "5 record(s) [Success - 0 / Error - 0 / Warning - 0]". Below the table are several buttons: "Show Activity Legend", "Save as Draft", "Previous Step", "Next Step", "Cancel", and a red-highlighted "Delete" button. A red arrow points to the "Delete" button.

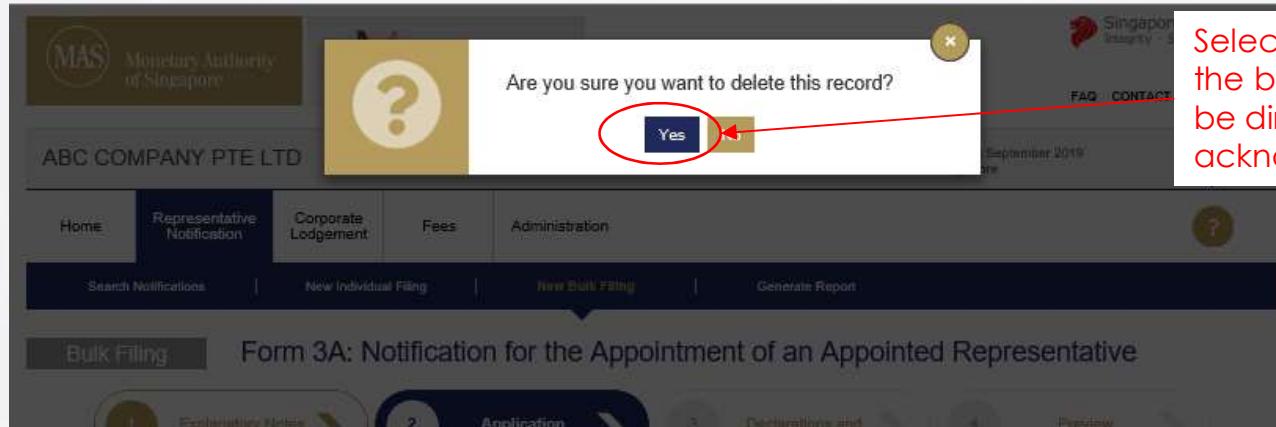
Unlike withdrawal of notifications, which can only be done one notification at a time, deletion of draft bulk notification can be done in bulk.

Select “Delete” to proceed.

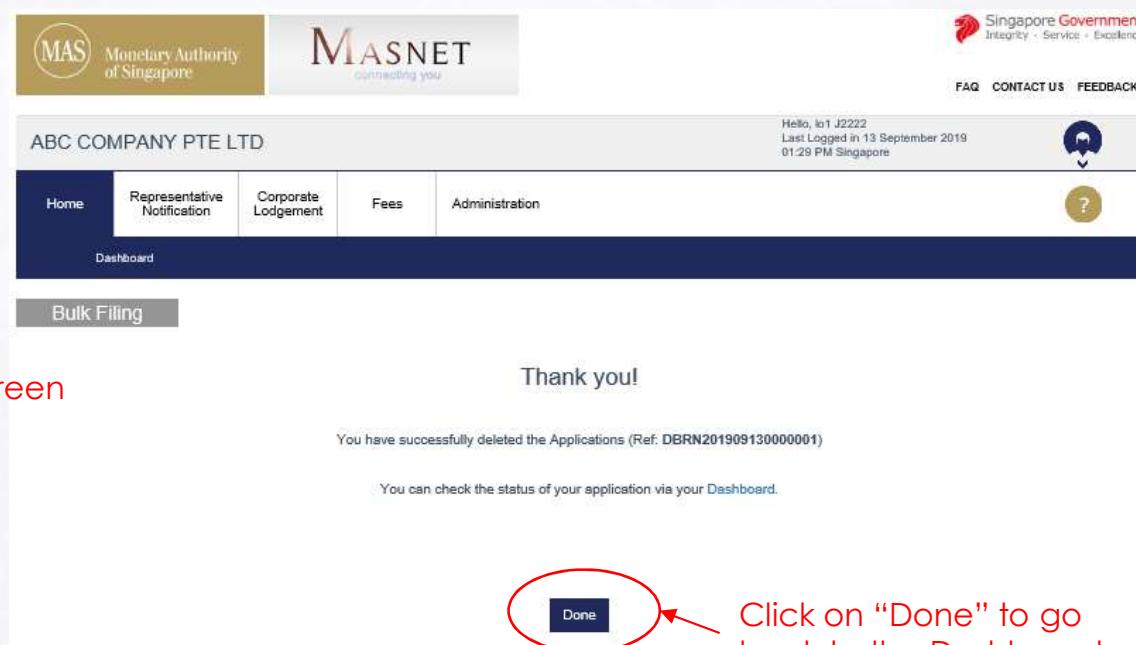


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4.8 Delete a Draft (continued)



Select "Yes" to confirm deleting the bulk filing. After which, user will be directed to an acknowledgement screen.



Click on "Done" to go back to the Dashboard.



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Thank You



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