



FORM 3B

SECURITIES MARKETS ORDER, 2013 [Section 160]

APPLICATION FOR RENEWAL OF CAPITAL MARKETS SERVICES REPRESENTATIVE'S LICENCE

Application is made for a licence under section 160 of the Securities Markets Order, 2013 and the following particulars are supplied in respect thereof –

SECTION I : REPRESENTATIVE'S DETAILS	
Name:	
Licence No.:	
Date first licensed [dd/mm/yyyy]:	
Name of Principal:	
Representative's relationship with principal:	<input type="checkbox"/> Salaries <input type="checkbox"/> Commissioned <input type="checkbox"/> Others <i>(Please specify)</i> : _____
SECTION II : REGULATED ACTIVITY	
Please tick (✓) the regulated activity(s) you intend to renew:	
<input type="checkbox"/> Dealing and arranging deals in investments as principal or agent <input type="checkbox"/> Managing investments including CIS management and establishment, operating or winding up a CIS <input type="checkbox"/> Giving or offering investment advice in his capacity as an investment adviser	<input type="checkbox"/> Giving or offering investment advice in his capacity as a financial planner <input type="checkbox"/> Using computer-based systems for giving investment instructions <input type="checkbox"/> Safekeeping and administration of assets including custodial services
If you are continuing to carry out dealing activities, please tick (✓) the type of investment(s) you are currently dealing in:	<input type="checkbox"/> Dealing in units in collective investment scheme and investment- linked insurance contract <input type="checkbox"/> Dealing in units in investment-linked insurance contract <input type="checkbox"/> Dealing in units in collective investment scheme <input type="checkbox"/> Dealing in any other type of securities only Please specify:

SECTION III : REPRESENTATIVE'S PROFILE			
[a] Personal Details			
Name [as per NRIC / passport]:			
Date of birth [dd/mm/yyyy]:		Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality:			
NRIC no.: [For Bruneian]			
Passport information: [For non-Bruneian]	Country of issue:		
	Expiry date [dd/mm/yyyy]:		
	Work Permit		
Residential address:			
E-mail:			
Contact no.:	Home:	Mobile:	
[b] Office Details			
Office / correspondence address:			
Work E-mail:			
Contact no.:	Office:	Fax:	
[c] Academic or Professional Qualifications			
Please list according to highest qualification.			
Qualification	Masters / Degree / Certificate / Professional	University / College / School / Others	Year
[d] Employment History			
Have you had any disciplinary actions issued against you recently?	<input type="checkbox"/> No <input type="checkbox"/> *Yes		

SECTION IV : LICENSING EXAMINATION				
(i) Have you taken the appropriate examinations needed to carry on one or more regulated activity[s]?		<input type="checkbox"/> No <input type="checkbox"/> Yes		
(ii) Please name the relevant licensing examination module[s] and date passed in the last 3 years, if applicable.	Module:		Date passed [dd/mm/yy]:	
	Module:		Date passed [dd/mm/yy]:	
	Module:		Date passed [dd/mm/yy]:	
	Module:		Date passed [dd/mm/yy]:	
(iii) Have you been exempted by the Authority from taking any relevant licensing examination?		<input type="checkbox"/> No <input type="checkbox"/> *Yes		
SECTION V : CONTINUING PROFESSIONAL DEVELOPMENT ("CPD")				
How many Continuing Professional Development ("CPD") points have you accumulated [for each regulated activity] in a calendar year?	Regulated Activity	CPD Points Accumulated during a year	Year	
	Dealing and arranging deals in investment			
	Managing investments (including CIS managing)			
	Investment adviser			
	Financial planner			
	Providing CIS administration and custodial services			
Please list the details of courses taken and activities conducted during the last 3 calendar years:				
Name of Course / Activity [e.g. giving a talk, refresher, etc.]		CDP Points Obtained	Date	
1				
2				
3				
4				
5				

SECTION VI : DECLARATION			
<p>If the answer to any of the following questions is in the affirmative, attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the applicant is considered to be fit and proper person.</p>			
		Yes	No
1.	<p>Since the last renewal, has the representative purchased or sold securities that are quoted on a stock exchange, whether directly or indirectly (which includes purchases or sales through his own nominees for/on behalf of his relatives) for his own account during the 12 months immediately preceding the date of this application?</p> <p><i>(If yes, please attach supporting documents to include name of securities and details of holdings, acquisition and disposal)</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Is the representative a director of any other corporation, wherever incorporated?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Does the representative own, either directly or indirectly, 5% or more of the voting shares of any corporation, wherever incorporated?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Since the last renewal, has the representative been-	Yes	No
	(a) licensed or registered in any capacity in any place outside Brunei Darussalam under any law or regulation which requires licensing or registration to deal or trade in securities or futures?	<input type="checkbox"/>	<input type="checkbox"/>
	(b) licensed, registered or otherwise authorised to carry on any trade, business or profession in Brunei Darussalam or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
	(c) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Brunei Darussalam or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
	(d) been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence involving fraud or other dishonesty or violence?	<input type="checkbox"/>	<input type="checkbox"/>
	(e) had judgement involving findings of fraud or other dishonesty, violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against him, as the case may be, in any civil proceedings, or are there any proceedings now pending that may lead to such a judgement?	<input type="checkbox"/>	<input type="checkbox"/>
	(f) contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice by persons concerned in the provision of financial services or the management of companies or against financial loss due to the conduct of discharged or undischarged bankrupts?	<input type="checkbox"/>	<input type="checkbox"/>
	(g) been declared a bankrupt or entered into a composition or arrangement with creditors?	<input type="checkbox"/>	<input type="checkbox"/>
	(h) been subjected to any form of disciplinary proceedings or actions by any professional or regulatory body?	<input type="checkbox"/>	<input type="checkbox"/>

5.	Since the last renewal, has the representative ever been a member or partner in a member firm or a director of a member company of any exchange where, at the time of his or her membership / partnership / directorship, that member firm or member company has been-	Yes	No
	(a) refused membership of any exchange?	<input type="checkbox"/>	<input type="checkbox"/>
	(b) expelled or suspended from trading on or the membership of any exchange?	<input type="checkbox"/>	<input type="checkbox"/>
	(c) subjected to any other form of disciplinary action by any exchange?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Since the last renewal, has the representative been involved in the management of a corporation in Brunei Darussalam or elsewhere which at the time of his or her involvement, the corporation-		
	(a) been convicted of any offence, or are there any proceedings now pending which may lead to a conviction of any offence, involving fraud or other dishonesty or violence?	<input type="checkbox"/>	<input type="checkbox"/>
	(b) had judgement involving findings of fraud or other dishonesty, or violence, misrepresentation, breach of contract, breach of fiduciary duty or professional negligence given against it in any civil proceedings, or are there any proceedings now pending that may lead to such a judgement?	<input type="checkbox"/>	<input type="checkbox"/>
	(c) contravened any written law for protecting members of the public against financial loss due to dishonesty, incompetence or malpractice by persons concerned in the provision of financial services or the management of companies, or against financial loss due to the conduct of discharged or undischarged bankrupts?	<input type="checkbox"/>	<input type="checkbox"/>
	(d) had a receiver and/or manager been appointed in respect of any of the assets of the said corporation?	<input type="checkbox"/>	<input type="checkbox"/>
	(e) entered into a compromise or arrangement with creditors or members?	<input type="checkbox"/>	<input type="checkbox"/>
	(f) had a petition presented in a court for its winding up?	<input type="checkbox"/>	<input type="checkbox"/>
	(g) been subjected to any form of disciplinary proceedings or action by any professional or regulatory body?	<input type="checkbox"/>	<input type="checkbox"/>
SECTION VII : SUPPORTING DOCUMENTS			
[*] are mandatory documents and must be submitted together with this form. Other documents must be submitted where applicable.		Appendix	
	<p>Annual Fee – BND 100 per regulated activity</p> <p><i>Cheque is made payable to Brunei Darussalam Central Bank. Payment may be made via online banking transaction or telegraphic transfer [T.T.] to the Authority's accounts: -</i></p>	<p>*NOTE: This will only be made payable <u>after</u> the renewal application has been approved, which will be confirmed by letter from the Authority.</p>	

	<p>For all <u>BND payment</u></p> <table border="1"> <tr> <td>Beneficiary Name:</td> <td>Brunei Darussalam Central Bank</td> </tr> <tr> <td>Beneficiary Address:</td> <td>Level 14, Ministry of Finance and Economy Building, Commonwealth Drive, BB3910 Brunei Darussalam</td> </tr> <tr> <td>Beneficiary Account:</td> <td>0201110270008</td> </tr> <tr> <td>For Account:</td> <td>Baiduri Bank</td> </tr> <tr> <td>Bank Address:</td> <td>Block A, Units 1-4, Kiarong Complex, Lebuhraya Sultan Hassanal Bolkiah, Bandar Seri Begawan, BE1318, Brunei Darussalam</td> </tr> <tr> <td>SWIFT Code:</td> <td>BAIDBNBB</td> </tr> <tr> <td>Bank Charges (if any)</td> <td>To be paid by Payee</td> </tr> </table> <p>For all <u>USD payment</u></p> <table border="1"> <tr> <td>Beneficiary Name:</td> <td>Brunei Darussalam Central Bank</td> </tr> <tr> <td>Beneficiary Address:</td> <td>Level 14, Ministry of Finance and Economy Building, Commonwealth Drive, BB3910 Brunei Darussalam</td> </tr> <tr> <td>Beneficiary Account:</td> <td>51-001-01-0001062</td> </tr> <tr> <td>For Account:</td> <td>Bank Islam Brunei Berhad</td> </tr> <tr> <td>Bank Address:</td> <td>Bank Islam Brunei Darussalam Berhad, Lot 159, Jalan Pemancha, Bandar Seri Begawan, BS8711, Brunei Darussalam</td> </tr> <tr> <td>SWIFT Code:</td> <td>BIBDBNBB</td> </tr> <tr> <td>Bank Charges (if any)</td> <td>To be paid by Payee</td> </tr> </table>	Beneficiary Name:	Brunei Darussalam Central Bank	Beneficiary Address:	Level 14, Ministry of Finance and Economy Building, Commonwealth Drive, BB3910 Brunei Darussalam	Beneficiary Account:	0201110270008	For Account:	Baiduri Bank	Bank Address:	Block A, Units 1-4, Kiarong Complex, Lebuhraya Sultan Hassanal Bolkiah, Bandar Seri Begawan, BE1318, Brunei Darussalam	SWIFT Code:	BAIDBNBB	Bank Charges (if any)	To be paid by Payee	Beneficiary Name:	Brunei Darussalam Central Bank	Beneficiary Address:	Level 14, Ministry of Finance and Economy Building, Commonwealth Drive, BB3910 Brunei Darussalam	Beneficiary Account:	51-001-01-0001062	For Account:	Bank Islam Brunei Berhad	Bank Address:	Bank Islam Brunei Darussalam Berhad, Lot 159, Jalan Pemancha, Bandar Seri Begawan, BS8711, Brunei Darussalam	SWIFT Code:	BIBDBNBB	Bank Charges (if any)	To be paid by Payee	
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<input type="checkbox"/>	*A copy of any certification / confirmation letter from principal, in relation to CPD points accumulated during the last calendar year																													
<input type="checkbox"/>	A copy of the applicant's NRIC (for Bruneian citizens) or passport (for non-Bruneian citizens) (to be submitted every 3 years, or where there are updates)																													
<input type="checkbox"/>	A copy of the applicant's relevant academic certificates (to be submitted every 3 years, or where there are updates)																													

<input type="checkbox"/>	A copy of the applicant's most recent CV (to be submitted every 3 years, or where there are updates)	
<input type="checkbox"/>	A copy of the relevant industry examination results (to be submitted every 3 years, or where there are updates)	
<input type="checkbox"/>	Details of securities sold or purchased by the representative for his/her own account during the last 12 months immediately preceding the date of application	
<input type="checkbox"/>	Work permit (for non-Bruneian citizens)	

SECTION VIII : TRUE AND CORRECT INFORMATION

We hereby declare that all information provided in this application and its annexures is true and correct and that we shall not conduct any other regulated activity aside from the one stated in this form, upon approval from the Authority.

We certify that the information given in the application is complete and accurate to the best of our knowledge, information and belief and that there are no other facts relevant to this application of which the Authority should be aware.

We further undertake to inform the Authority of any changes material to the application which arise while the Authority is considering the application.

<p>_____</p> <p>Signature</p>		<p>_____</p> <p>Signature</p>	
Name [Representative]:		Name [Director / Authorised Signatory]:	
Designation:			
Date [dd/mmm/yyyy]:		Date [dd/mmm/yyyy]:	