

**FORM 10(C)****SECURITIES MARKETS ORDER, 2013****ANNUAL REPORT  
FOR PERSON WHOM HAVE BEEN GRANTED EXEMPTION TO PROVIDE  
INVESTMENT ADVICE UPON CLIENT'S REQUEST BY VIRTUE OF FORM 10**

Those who have been granted exemption under Section 159(1)(f) and/or Section 158(2)(b) of the Securities Markets Order, 2013 ("SMO") from the requirement to hold a Capital Markets Services Licence ("CMSL") and Capital Markets Services Representative's Licence ("CMSRL") respectively to enter Brunei Darussalam at the request of and in furtherance of the best interests of a client, so as to provide Investment Advice as defined in Part II (Activities Constituting Investment Business) of the Schedule to the SMO, **must within one month after the end of the exemption validity period submit to the Authority this Annual Report**, of which **must be verified by the clients in Brunei Darussalam**.

The following particulars are supplied in respect thereof–

**Note:** This Annual Report should be read together with the Guidelines provided (Annex 1);  
Form 10(C) can be submitted to the following address:

Capital Market Unit,  
Autoriti Monetari Brunei Darussalam  
Level 7, Ministry of Finance Building  
Commonwealth Drive  
Bandar Seri Begawan, BB3910  
Brunei Darussalam  
**(or) email at [capmarket@ambd.gov.bn](mailto:capmarket@ambd.gov.bn)**

<b>SECTION II : DETAILS OF CLIENT</b>	
Please complete all information for the client in <b>Appendix I</b> of this form. Separate forms should be filled in for separate clients.	
<b>SECTION III : TRUE AND CORRECT INFORMATION</b>	
We hereby declare that all information provided in this report is true and correct.	
_____ <i>(Signature)</i>	_____ <i>Company Chop (if any)</i>
Name of Director / Authorised Signatory of Company of Exempt Person: Date: <i>(dd/mm/yyyy)</i>	
_____ <i>(Signature)</i>	
Name of Exempt Person: <i>(This is to be signed by at least one of the Exempt Person)</i> Date: <i>(dd/mm/yyyy)</i>	
<b>SECTION I : COMPANY AND REPRESENTATIVE BASIC INFORMATION</b>	
Name of Exempt Representative(s):	
Name of Company of Exempt Representative(s):	
Date of Exemption Granted:	<i>(dd/mm/yyyy)</i>
Report submitted within a month after the expiry of exemption period?	<input type="checkbox"/> Yes <input type="checkbox"/> No, reason: <i>(reason for late submission)</i>

<b>APPENDIX I : DETAILS OF CLIENT</b>	
Please complete all information for the client in Appendix I of this form. Separate forms should be filled in for separate clients.	
Name of Client:	<i>(Name of Clients / Investor / Company)</i>
Types of Investors: <i>(Note: The definition of each specific investors can be found under Section 20, Securities Markets Order, 2013)</i>	<input type="checkbox"/> Accredited Investor
	<input type="checkbox"/> Expert Investor
	<input type="checkbox"/> Institutional Investor
Contact person:	<i>(Full Name of Contact Person for Client 1)</i>
Contact details	Phone Number:
	Email Address:
Meetings	<i>(Total number of meetings with the client(s) within the year)</i>
	<b>Please list all meeting dates to be attached as Appendix.</b>
Are there any commitment from the advisory given?	<input type="checkbox"/> Yes.  <b>Please fill in the following details below –</b>  Tenor of Mandates: _____
	<input type="checkbox"/> No
<b>CLIENT VERIFICATION</b>	
_____ <i>(Signature)</i>	<i>Company Chop (if any)</i>
Name of Director / Authorised Signatory: Date: <i>(dd/mm/yyyy)</i>	