



FORM 4B

SECURITIES MARKETS ORDER, 2013 [Section 163(1)(b)]

APPLICATION FOR VARIATION OF CAPITAL MARKETS SERVICES REPRESENTATIVE'S LICENCE

Application is made by a holder of a Capital Markets Services Representative Licence, to vary his/her licence with respect to his/her principal and regulated activity, under section 163(1)(b) of the Securities Markets Order, 2013 and the following particulars are supplied in respect thereof –

SECTION I : ADDITION OR REMOVAL OF REGULATED ACTIVITY		
Please tick (✓) the type of application you wish to make:		
<input type="checkbox"/>	Varying the name of the principal	
<input type="checkbox"/>	Addition of regulated activity	<input type="checkbox"/> Removal of regulated activity
SECTION II : CAPITAL MARKETS SERVICES REPRESENTATIVE LICENCE HOLDER		
Name:		
Licence Reference No:		
Licence issued (dd/mm/yyyy):		
SECTION III : DETAILS OF VARIATION		
Please complete where applicable.		
(a) Name of Principal		
Name before variation:		
Name after variation:		
Date of variation (dd/mm/yy):		
Reason for variation:	<i>(Please state in detail, the reason for variation)</i>	
(b) Regulated Activity(s)		
Please tick (✓) the regulated activity(s) where applicable:	Before variation	After variation
Dealing and arranging deals and transactions in investment as principal or agent	<input type="checkbox"/>	<input type="checkbox"/>
Using computer based systems for giving investment instructions	<input type="checkbox"/>	<input type="checkbox"/>

Managing investments including CIS management and or establishing, operating or winding up a CIS		<input type="checkbox"/>	<input type="checkbox"/>
Giving or offering investment advice in his or her capacity as an investment adviser		<input type="checkbox"/>	<input type="checkbox"/>
Giving or offering investment advice in his or her capacity as a financial planner		<input type="checkbox"/>	<input type="checkbox"/>
Safekeeping and administration of assets including custodial services		<input type="checkbox"/>	<input type="checkbox"/>
If you intend to carry out dealing activities, please tick (✓) the type of investment(s) you intend to deal in:	Dealing in all investments	<input type="checkbox"/>	<input type="checkbox"/>
	Dealing in units in collective investment schemes	<input type="checkbox"/>	<input type="checkbox"/>
	Dealing in unlisted debt securities	<input type="checkbox"/>	<input type="checkbox"/>
	Dealing in any other type of securities only Please specify: <u>E.g. Investment-linked insurance contracts</u>	<input type="checkbox"/>	<input type="checkbox"/>
Reason for variation:	<i>(Please state in detail, the reason for variation)</i>		
SECTION IV : LICENSING EXAMINATION			
(i) Have you taken the appropriate examinations to take on additional 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	<i>(*Please state the date of the exemption letter issued by the Authority)</i>	
(iv) How many Continuing Professional Development ("CPD") points have you accumulated for each regulated activity in a calendar year?			
(v) Have you had any disciplinary actions issued against you?	<input type="checkbox"/> No <input type="checkbox"/> *Yes	<i>(*Please indicate for what reason and by whom)</i>	
SECTION V : SUPPORTING DOCUMENTS			
<i>(* are mandatory documents and must be submitted together with this form. Other documents must be submitted where applicable.</i>			Appendix

<input type="checkbox"/>	<p>*Application Fee – BND 100 per additional regulated activity <i>(As per Section 163(3) of the SMO, this application must be accompanied by a prescribed application fee)</i></p> <p><i>Cheque is made payable to Autoriti Monetari Brunei Darussalam. Payment may be made via online banking transaction or telegraphic transfer (T.T.) to the Authority's accounts: -</i></p> <p>For all <u>BND</u> payment</p> <table border="1" data-bbox="399 516 1170 1071"> <tr> <td><i>Beneficiary Name:</i></td> <td><i>Autoriti Monetari Brunei Darussalam</i></td> </tr> <tr> <td><i>Beneficiary Address:</i></td> <td><i>Level 14, Ministry of Finance Building, Commonwealth Drive, BB3910 Brunei Darussalam</i></td> </tr> <tr> <td><i>Beneficiary Account:</i></td> <td>0201110270008</td> </tr> <tr> <td><i>For Account:</i></td> <td>Baiduri Bank</td> </tr> <tr> <td><i>Bank Address:</i></td> <td><i>Block A, Units 1-4, Kiarong Complex, Lebuhraya Sultan Hassanal Bolkiah, Bandar Seri Begawan, BE1318, Brunei Darussalam</i></td> </tr> <tr> <td><i>SWIFT Code:</i></td> <td>BAIDBNBB</td> </tr> <tr> <td><i>Bank Charges (if any)</i></td> <td>To be paid by Payee</td> </tr> </table> <p>For all <u>USD</u> payment</p> <table border="1" data-bbox="399 1157 1170 1711"> <tr> <td><i>Beneficiary Name:</i></td> <td><i>Autoriti Monetari Brunei Darussalam</i></td> </tr> <tr> <td><i>Beneficiary Address:</i></td> <td><i>Level 14, Ministry of Finance Building, Commonwealth Drive, BB3910 Brunei Darussalam</i></td> </tr> <tr> <td><i>Beneficiary Account:</i></td> <td>51-001-01-0001062</td> </tr> <tr> <td><i>For Account:</i></td> <td>Bank Islam Brunei Berhad</td> </tr> <tr> <td><i>Bank Address:</i></td> <td><i>Bank Islam Brunei Darussalam Berhad, Lot 159, Jalan Pemancha, Bandar Seri Begawan, BS8711, Brunei Darussalam</i></td> </tr> <tr> <td><i>SWIFT Code:</i></td> <td>BIBDBNBB</td> </tr> <tr> <td><i>Bank Charges (if any)</i></td> <td>To be paid by Payee</td> </tr> </table> <p>NOTE: The annual fee will be paid separately. This will only be made payable <u>after</u> the application has been approved.</p> <p>Annual fee – BND 100 per additional regulated activity</p>	<i>Beneficiary Name:</i>	<i>Autoriti Monetari Brunei Darussalam</i>	<i>Beneficiary Address:</i>	<i>Level 14, Ministry of Finance Building, Commonwealth Drive, BB3910 Brunei Darussalam</i>	<i>Beneficiary Account:</i>	0201110270008	<i>For Account:</i>	Baiduri Bank	<i>Bank Address:</i>	<i>Block A, Units 1-4, Kiarong Complex, Lebuhraya Sultan Hassanal Bolkiah, Bandar Seri Begawan, BE1318, Brunei Darussalam</i>	<i>SWIFT Code:</i>	BAIDBNBB	<i>Bank Charges (if any)</i>	To be paid by Payee	<i>Beneficiary Name:</i>	<i>Autoriti Monetari Brunei Darussalam</i>	<i>Beneficiary Address:</i>	<i>Level 14, Ministry of Finance Building, Commonwealth Drive, BB3910 Brunei Darussalam</i>	<i>Beneficiary Account:</i>	51-001-01-0001062	<i>For Account:</i>	Bank Islam Brunei Berhad	<i>Bank Address:</i>	<i>Bank Islam Brunei Darussalam Berhad, Lot 159, Jalan Pemancha, Bandar Seri Begawan, BS8711, Brunei Darussalam</i>	<i>SWIFT Code:</i>	BIBDBNBB	<i>Bank Charges (if any)</i>	To be paid by Payee	
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<input type="checkbox"/>	<p>*Payment Instruction Form</p>	<p>ANNEX 1</p>																												

<input type="checkbox"/>	*A copy of the relevant licensing examination results / professional certificates in the last 3 years	
<input type="checkbox"/>	*A copy of the applicant's most recent CV	
<input type="checkbox"/>	Board of Director's Resolution / confirmation letter from the new principal, in relation to the changes of principal.	
SECTION VI : TRUE AND CORRECT INFORMATION		
<p>We hereby declare that all information provided in this application and its annexures is true and correct, and that I have read and understood the provisions of the Securities Markets Order, 2013 and all regulations and circulars issued thereunder.</p> <p>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.</p> <p>We further undertake to inform the Authority of any changes material to the application which arise while the Authority is considering the application.</p>		
<hr/>		<hr/>
Signature		Signature
Name (CMSRL holder):		Name (Director / Authorised Signatory of Principal):
Date (dd/mm/yyyy):		Date (dd/mm/yyyy):