

## **Letter of Undertaking**

### **Section A: Register of Interests in Securities**

As I am a holder of a capital markets services licence to deal in securities, I acknowledge and undertake to Professional Investment Advisory Services Pte. Ltd. ("PIAS") that I am obliged to maintain the Register of Interests in Securities, as required under Regulation 4 of the Securities and Futures (Licensing and Conduct of Business) Regulations and comply with the following conditions:

- a) I am aware that it is my responsibility as a PIAS representative to maintain the Register of Interests in Securities;
- b) I shall complete the PIAS Register of Interests in Securities ("Register") and ensure that the information provided is expeditiously updated and accurate no later than 7 days after any securities has been acquired or disposed of;
- c) I shall keep the Register at PIAS premises in Singapore and is readily available at all times. I understand that I may keep the Register in electronic form only if I can ensure full access to the Register by PIAS staff or the Authority at PIAS premises;
- d) I shall allow PIAS staff or the Authority to have the full access to the Register within a stipulated timeline and make copy(ies) of the Register for audit and inspection purposes. I may also be asked to provide my Central Depository ("CDP") statement and any other supporting documents and I shall provide it within a stipulated timeline;
- e) I shall retain all the information in the Register for a period of not less than 7 years after the date on which such entry was first made;
- f) I acknowledge that disciplinary actions may be taken against me if I fail to comply with Section A, paragraph a) to e).

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Signature  
Name (in full) of PIAS Representative:  
NRIC / Passport No. :  
Date:

### **Section B: Prohibition of Sale for Bonds Classified as Specified Investment Products ("SIPs")**

*Applicable for representatives whom have passed CMFAS Modules 5 and 6, but NOT passed CMFAS Module 6A*

- a) I declare that it is my sole responsibility to ensure that I will only provide financial advisory service and/or sell Bonds that are classified as Excluded Investment Products ("EIPs").
- b) For the avoidance of doubt, I declare that I shall NOT provide financial advisory service and/or sell Bonds that are classified as SIPs.
- c) I acknowledge that severe disciplinary actions will be taken against me if I fail to comply with Section B, paragraph a) and b).

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Signature  
Name (in full) of PIAS Representative:  
NRIC / Passport No. :  
Date: