

Name of Supervisor		Name of Proxy Supervisor	
PIAS Code of Supervisor		PIAS Code of Proxy Supervisor	
Branch of Supervisor		Branch of Proxy Supervisor	

PROXY PERIOD	Start Date*: (DD/MM/YYYY)	End Date*: (DD/MM/YYYY)
	*Important: Start Date & End Date of arrangement must be on a business day.	
Reason(s):		

ADVISER TAGGING			
Tag to: <input type="checkbox"/> All Advisers in supervisor's unit OR <input type="checkbox"/> Selected advisers (Attached another proxy form is space is insufficient)			
PIAS Code	Name of advisers	PIAS Code	Name of advisers

DUTIES		Proxy setup	Remarks
1.	Validate Financial Planner Validate E-Financial Planner (EFP)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
2.	Accompany Adviser for joint field work	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.	Coaching Sessions	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4.	Meeting Sessions	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5.	Client Call-Back	<input type="checkbox"/> Yes <input type="checkbox"/> No	

6.	<u>Online Trades/Submission Approval</u> <u>(Online Tagging)</u> A. All Platforms available to Proxy Supervisor <div style="text-align: center;">OR</div> B. Selected platforms (Please specify in Remarks box) <div style="text-align: center;">OR</div> C. Not Required	<input type="checkbox"/> A. <input type="checkbox"/> B. <input type="checkbox"/> C.	
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ACKNOWLEDGEMENT

I the Supervisor hereby authorize the Proxy Supervisor to act as on my behalf during the PROXY PERIOD stated, for the list of advisers (ADVISERS TAGGING) for DUTIES highlighted above.

Signature of Supervisor		Date	
Signature of Proxy Supervisor		Date	

Important notice for supervisor and proxy supervisor:

- This form must be submitted to your respective BDM at least 3 business days before the start of proxy arrangement.
- It is the responsibility of a supervisor to appoint a proxy supervisor who is competent to perform the Competency functions
- Supervisors can only proxy the duties in the following manner:
 - o Tier 3 supervisor can only proxy to another Tier 3 supervisor.
 - o Tier 2 supervisor can only proxy to another Tier 2 or Tier 3 supervisor.
- The supervisor is ultimately responsibility for the duties covered by the Proxy Supervisor.
- The completed proxy form must be kept by supervisor for filing after approval.
- A submission does not equate to an approval in the arrangement.
- Proxy arrangements will only start once the proxy arrangements is completed by PIAS.

For Official Use:

I approve / do not approve this proxy application:

Remarks:

Name and Signature of BD		Date	
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