



FORM 10C

SECURITIES MARKETS ORDER, 2013

ANNUAL REPORT

FOR PERSONS 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 to Persons Seeking For Exemption Under Section 158(2)(b) And 159(1)(f), Securities Markets Order, 2013 from Holding A Capital Markets Services Licence And Capital Markets Services Representative's Licence Respectively to Provide Investment Advice Upon Client's Request (No. CMU/G-3/2017/3); and Form 10C can be submitted to the following address:

Capital Market,
Brunei Darussalam Central Bank
Level 7, Ministry of Finance and Economy Building
Commonwealth Drive
Bandar Seri Begawan, BB3910
Brunei Darussalam

[or] email at capmarket@bdcb.gov.bn

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

APPENDIX I : DETAILS OF CLIENT	
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:	
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:	
Contact details	Phone Number:
	Email Address:
Meetings	
	Please list all meeting dates to be attached as Appendix.
Are there any commitment from the advisory given?	<input type="checkbox"/> Yes. Please fill in the following details below – Tenor of Mandates: _____
	<input type="checkbox"/> No
CLIENT VERIFICATION	
_____ <i>[Signature]</i>	<i>Company Chop (if any)</i>
Name of Director / Authorised Signatory: Date:	