

**Letter from new/prospective employer/principal/company to previous employer/principal/company**

(please delete as appropriate)

Date:

To: Name of Officer / Financial Institution

Subject: Authorised Representative Reference Check for purposes of FAA / SFA and also General Employee Reference Check

Name as in NRIC/Employment Pass/Passport:  
RNF Number (if applicable):

NRIC/Employment Pass/Passport No:

We are given to understand that the above-mentioned person was previously employed or engaged by your company. In compliance with the **MAS' Circular on "Due Diligence Checks and Documentation in respect of the Appointment of Appointed, Provisional and Temporary Representatives"** dated 7 February 2011, we request your provision of the following information about him/her while he/she was with your company. The information provided will be treated with the strictest confidentiality.

(A) Minimum Information (compulsory)

1. Period of employment : From \_\_\_\_\_ to \_\_\_\_\_
2. Last position held (please include corporate & functional title):
3. The reason for his/her leaving your organisation:  voluntary  involuntary (please provide details)
4. **Has your bank/company filed a report against him/her to the MAS pursuant to the Notice on Reporting of Misconduct of Representatives by Financial Advisers issued pursuant to section 58 to the Financial Advisers Act (FAA), or equivalent notices issued pursuant to the Securities & Futures Act (SFA), or any other Financial Services, Securities, Insurance or Banking Regulations?**  Yes  No  Not applicable

If yes, please indicate the misconduct reported<sup>\*note</sup>.

Date of Report	Nature of Misconduct	Action Taken (Optional)

The information provided here is "to the best of our knowledge" and is not a declaration of their truth and accuracy.

For clarification or further information, please contact: Name of Officer / Fax / Tel / E-mail \_\_\_\_\_

<sup>\*note</sup> Please highlight if the employee does not have prior knowledge of the report made.

(B) Optional Information

We would appreciate it if you could revert within the next seven (7) business days from the date of receipt of the RCF. If there is going to be a delay, kindly let us know when we can expect a reply from your company. Please do not hesitate to contact us for further clarification.

Thank you for your kind assistance and expedient reply to our inquiry.

Yours sincerely

Signature:

Name of authorised personnel:

Designation / Department:

**Consent to conduct inquiry into previous employment**

To: (Name of Principal/Company)

I (Name as in NRIC/Employment Pass/Passport) hereby irrevocably and unconditionally authorise the performance of reference checks on my previous employment(s) and release from liability all persons or entities requesting or supplying such information.

Signature

NRIC/Employment Pass/Passport No.

Date