

SECURITIES AND FUTURES ACT  
(Cap. 289)

SECURITIES AND FUTURES  
(LICENSING AND CONDUCT OF BUSINESS)  
REGULATIONS (Rg 10)

**DECLARATION LODGED PURSUANT TO  
REGULATION 14(4) BY A PERSON EXEMPTED  
FROM HOLDING A CAPITAL MARKETS SERVICES  
LICENCE UNDER SECTION 99(1) (a), (b), (c) AND (d)**

FORM  
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*Explanatory Notes*

1. Please read the explanatory notes and questions carefully before completing and lodging the notification form with the Monetary Authority of Singapore (“the Authority”).
2. All questions must be answered. If a question is not applicable, please mark “N.A.” in the space provided. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatories to this notification.
3. Where there is an asterisk (\*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. In this Form, “exempt financial institution” refers to a person exempt from holding a financial adviser’s licence under section 99(1)(a), (b), (c), or (d) of the Securities and Futures Act (Cap. 289) (“the Act”).
6. The terms “accredited investors” and “institutional investors” are defined in section 4A of the Act

FOR OFFICIAL USE ONLY

Notification received on:  
Remarks:

**I. INFORMATION ON EXEMPT FINANCIAL INSTITUTION**

1. Name of Exempt Financial Institution: \_\_\_\_\_
2. Business address : \_\_\_\_\_
3. Telephone number / fax number : \_\_\_\_\_
4. E-mail address : \_\_\_\_\_
5. Financial year ended (dd/mm/yy): \_\_\_\_\_
6. Please provide details on the breakdown on the existing clientele and list the business unit(s) that has carried on business in each applicable regulated activity.

Regulated Activity	Number of Clients			Business Units
	Institutional Investors or Accredited Investors	Others		
		Individuals	Non-Individuals	
Dealing in Securities				
Trading in Futures Contracts				
Leveraged Foreign Exchange Trading (not applicable to banks and merchant banks)				
Advising on Corporate Finance				
Fund Management				
Securities Financing				
Providing Custodial Services for Securities				
<b>Grand Total<sup>^</sup></b>				

<sup>^</sup> Please take note that a client who is being serviced in more than one regulated activity by the company is to be taken into account only once for the purpose of computing "Grand Total".

**II. DECLARATION**

1. I am aware that section 329(1), (3) and (4) of the Act provides as follows:

“ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER OR FOR THE PURPOSES OF ANY PROVISION OF THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.

ANY PERSON WHO –

(a) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR

(b) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY,

SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.

ANY PERSON WHO CONTRAVENES SUBSECTION (1) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.”

2. I am aware that under section 99(6) of the Act, the Authority may withdraw the exemption granted to any person under section 99 of the Act if the exempt financial institution contravenes any provision of the Act.

3. I declare that all information given in this Form and in the attached annexes (if any) is true and correct.

Signature : \_\_\_\_\_

Name of Director/Secretary/ Chief Executive Officer/Principal Officer\* : \_\_\_\_\_

Date : \_\_\_\_\_

(dd/mm/yy)