

SECURITIES AND FUTURES ACT 2001

(Act 42 of 2001)

SECURITIES AND FUTURES (LICENSING AND CONDUCT
OF BUSINESS) REGULATIONS 2002

**AUDITOR'S STATEMENT UNDER
REGULATION 14(4) FOR A SECURITIES
EXCHANGE, FUTURES EXCHANGE OR A
RECOGNISED TRADING SYSTEM
PROVIDER EXEMPTED FROM LICENSING**

FORM

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Name of securities exchange, futures exchange or recognised trading system provider

Name of auditor(s): _____

Financial Year Ended: _____

1. I/We* —

- (a) have reviewed the books, records, accounts, ledgers, and other documents of the securities exchange/futures exchange/recognised trading system provider* as I/we* considered necessary to examine for the purposes of this audit; and
- (b) have noted condition(s) and restriction(s) imposed on the securities exchange/futures exchange/recognised trading system provider* by the Monetary Authority of Singapore relating to its business in a regulated activity.

2. After conducting the procedures in accordance with paragraph 1 and after making the necessary enquiries, I am/we are* of the opinion that —

- (a) the size of the regulated activity conducted is not more than 10% of the entire business of the securities exchange/futures exchange/recognised trading system provider* in terms of revenue and manpower resources;
- (b) the securities exchange/futures exchange/recognised exchange trading system provider* complied with the condition(s) and restriction(s) referred to in paragraph 1(b).

3. The holder has placed restriction/no restriction* on the scope of the audit and all the information and explanations required were/ were not* received.

Dated this _____ day of _____ year _____

Signature(s) of Auditor(s): _____

* Delete whichever is inapplicable.