

SECURITIES AND FUTURES ACT  
(CAP. 289)

SECURITIES AND FUTURES (MARKETS)  
REGULATIONS 2005

**NOTICE OF DISALLOWANCE OF CLAIM  
AGAINST FIDELITY FUND OF AN APPROVED  
EXCHANGE UNDER SECTION 189(4) OF THE  
SECURITIES AND FUTURES ACT (CAP. 289)**

FORM

**11**

In the matter of \_\_\_\_\_ (name of member company) of  
\_\_\_\_\_ (address of member company)

To:

Name of Claimant/Solicitor:

Address of Claimant/Solicitor:

The Committee/Board of \_\_\_\_\_ (name of approved exchange) has considered your claim against the fidelity fund in respect of pecuniary loss alleged to have been suffered from defalcation by the abovenamed member company or by any of its agent.

The Committee/Board has decided, having regard to all available evidence, that the claim should be disallowed/partly allowed\* to the extent set out hereunder and you are hereby notified accordingly.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ for and on behalf of \_\_\_\_\_ (name of approved exchange).

*Note:*

Section 189(5) of the Securities and Futures Act (Cap. 289) provides that no proceedings against an approved exchange in respect of a claim which has been disallowed by the exchange shall be commenced after the expiration of 3 months after the service of notice of disallowance under section 189(4) of the Securities and Futures Act.

For the purposes of this form, "agent" has the same meaning as in section 186(13) of the Securities and Futures Act.

\* Delete whichever is inapplicable