

SECURITIES AND FUTURES ACT 2001
SECURITIES AND FUTURES
(LICENSING AND CONDUCT OF BUSINESS)
REGULATIONS (Rg10)
**NOTIFICATION OF CHANGE IN PARTICULARS
UNDER SECTION 93(1)(b) OF THE SECURITIES AND FUTURES ACT**

(Full name of applicant as per ACRA's record)

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing this form.
2. All the terms used in this form shall, except where expressly defined in this form or where the context otherwise requires, have the same meaning as defined in the Securities and Futures Act (the "Act") or the Securities and Futures (Licensing and Conduct of Business) Regulations (the "Regulations")
3. Please check relevant boxes where appropriate.
4. Please note that all that all attachments should be provided in a machine-readable format.
5. This specimen form should not be submitted to MAS. Only submissions via the online form on MAS-Tx is permitted.

Section 1: Change in Contact Details

1.1 Name of Company

1.2 Unique entity number as per ACRA's record

1.3 Provide the following information if there are changes to the details of the contact person from the Company's previous submission.

☐ Not applicable. *Please proceed to section 2.*

Name of contact person	Designation of contact person	Country code	Contact number of contact person	Email of contact person	Effective since (DD MMM YYYY)

Section 2: Change in Company Information

2.1 Provide the following information if there are changes to the Company's registration and particulars.

☐ Not applicable. *Please proceed to section 2.2.*

Which specific company details would you like to update? Please select or specify from the following: *(Optional)*

- ☐ Name of the Company
- ☐ Financial year end
- ☐ Address of principal place of business
- ☐ Contact number(s)
- ☐ Company website

New name of Company

Attach a copy of the relevant document stating the change in name.

New financial year end

New address of principal place of business

Country	Postal code
Address line 1	
Address line 2	
☐ The Company's new principal place of business is dedicated for the Company's use. If the new principal place of business is a serviced office, the Company has a physically segregated room that is lockable and only accessible by the Company's directors and staff.	

New contact number(s)

Country code	Contact number

New URL of Company's website

Effective since (DD MMM YYYY)

Section 3: Changes in Particulars of CEO/Directors

3.1 Provide the following information if there is a change in particulars of the CEO/Directors of the Company.

☐ Not applicable. Please proceed to section 4.

3.2 Please provide information on the CEO/Director as previously submitted to MAS.

Name of individual

Nationality

Singapore residency status

☐ Singapore PR

☐ Employment pass holder

☐ Non-resident

NRIC/FIN

Valid passport number

Nationality

Nature of appointment of individual

☐ CEO

☐ Executive Director

☐ Non-Executive Director

CEO effective date of appointment

Executive Director effective date of appointment

Non-Executive Director effective date of appointment

3.3 Are there changes to the CEO/Director’s personal particulars?

- ☐ Yes. Please provide the information below.
- ☐ No. Proceed to question 3.4

New name of individual

New name designation

New address - Country of residence

New address - Postal code

New address - Address line 1

New address - Address line 2

New country code 1

New contact number 1

New country code 2

New contact number 2

New email address

New nationality

New Singapore residency status

☐ Singapore PR

☐ Employment pass holder

☐ Non-resident

New NRIC

New FIN

Date of grant (DD MMM YYYY)	Expiry date (DD MMM YYYY)
New valid passport number 1	Nationality 1
New valid passport number 2	Nationality 2
Effective since (DD MMM YYYY)	

3.4 Has the individual resigned?

- ☐ Yes. *Please provide the information below.*
- ☐ No. *Proceed to question 3.5*

What did the individual resign as?

- ☐ CEO
- ☐ Executive Director
- ☐ Non-Executive Director
- ☐ Resigned as Executive Director and reappointed as Non-executive Director

Provide the reason(s) and circumstances for the individual's resignation/change in nature of directorship.

Please provide the effective date of resignation for the position the individual resigned as.

CEO effective date of resignation (DD MMM YYYY)

Executive Director effective date of resignation (DD MMM YYYY)

Non-Executive Director effective date of resignation (DD MMM YYYY)

3.5 Does the individual have any new connected persons that are staff or directors of the Company?

- ☐ Yes. Please provide the information below.
- ☐ No. Proceed to question 3.6

Name of connected person

Date of birth (DD MMM YYYY)

Nationality

Singapore residency status

- ☐ Singapore PR
- ☐ Employment pass holder
- ☐ Non-resident

Relation to individual

Designation in the Company

Effective since (DD MMM YYYY)

3.6 Are there changes to the details of any directorship, partnership, sole proprietorship or other positions held by the individual in any entity in Singapore or elsewhere, from what was previously notified to MAS? Please exclude directorships or positions held in the Company, in investment vehicles managed by the Company as part of its fund management activity, and any entity that is invested into by investment vehicles managed by the Corporation as part of its fund management activity.

Only applicable for the CEO and directors of the Company. Please list the records in reverse chronological order, starting from the most recent record.

- ☐ Yes. Please provide the information on the next page.
- ☐ No. Proceed to question 3.7

Directorships/Positions

Date of appointment (DD MMM YYYY)	Date of resignation (DD MMM YYYY)
Name of entity	Country of incorporation
Nature of business	if others, please specify
Position held	if others, please specify
Is the entity a related corporation of the Company, and/or does it have any business dealings or contractual relationships with the Company?	
☐ Yes.	
☐ No.	
Is the entity currently licensed by, or has the entity ever applied for a licence from, a financial regulator in its country of incorporation?	
☐ Yes. <i>Please provide the information below.</i>	
☐ No. <i>Proceed to next question</i>	
Name of financial regulator	if others, please specify
Does the individual also hold shareholdings in the entity?	
☐ Yes.	
☐ No.	
Does the Company have existing business dealings/common clients or envisage potential business dealings with the entity (including any investment in the entity by investment vehicles managed by the Company as part of its fund management activity)?	
☐ Yes.	
☐ No.	

+ Add another Directorship/Position

Delete directorship/position

- 3.7 Are there changes to the details of any shareholdings where the individual holds 5% or more of the total number of voting shares in any entity in Singapore or elsewhere, from what was previously notified to MAS? Please exclude shareholdings in the Company and in investment vehicles managed by the Company as part of its fund management activity.

Only applicable for the CEO and directors of the Company. Please list the records in reverse chronological order, starting from the most recent record.

- ☐ Yes. *Please provide the information below.*
- ☐ No. *Proceed to question 4.1*

Business Interest/Shareholding

Name of individual	
Name of entity	Country of incorporation
Effective date (DD MMM YYYY)	Date of disposal (DD MMM YYYY)
Nature of business	if others, please specify
Position held	if others, please specify
Effective percentage of shareholding in Company (%)	
Is the entity a related corporation of the Company, and/or does it have any business dealings or contractual relationship with the Company?	
☐ Yes.	
☐ No.	
Is the entity currently licensed by, or has the entity ever applied for a licence from, a financial regulator in its country of incorporation?	
☐ Yes. <i>Please provide the information below.</i>	
☐ No. <i>Proceed to section 4.</i>	
Name of financial regulator	if others, please specify

+ Add another business interest/shareholding

Delete business interest/shareholding

Section 4: Changes in Shareholding Structure

- 4.1 Provide the following information if there is a change in the immediate, intermediate and ultimate corporate shareholder(s) (not being natural persons) of the corporation, where such change does not require MAS' approval under section 97A of the SFA.

☐ Not applicable. *Proceed to question 4.2*

Corporate shareholder

Select shareholder	
☐ New Shareholder	
☐ Existing Shareholder	
Name of entity	
Entity incorporation/identification number	Country of incorporation
Type of shareholder	Date of change (DD MMM YYYY)
Percentage of effective shareholding before change (%)	Percentage of effective shareholding after change (%)
Regulator that the entity is/was licensed, registered or approved by (if applicable)	
Type of licence/approval held	Date of licensing/approval (DD MMM YYYY)
Nature of business	if others, please specify

+ Add another Corporate shareholder

Delete Corporate shareholder

4.2 Provide the following information if there is a change in the shareholding structure of the Company, involving shareholders that are natural persons, where such change does not require MAS' approval under section 97A of the SFA

☐ Not applicable. *Proceed to question 4.3*

Individual shareholder

Select shareholder

- ☐ New Shareholder
☐ Existing Shareholder

Name of individual

Type of shareholder

Date of change (DD MMM YYYY)

Percentage of effective shareholding before change (%)

Percentage of effective shareholding after change (%)

Date of birth (DD MMM YYYY) (Provide if the individual is a new Shareholder)

Gender (Provide if the individual is a new Shareholder)

- ☐ Male ☐ Female

Occupation (Provide if the individual is a new Shareholder)

Nationality

Singapore residency status

- ☐ Singapore PR
☐ Employment pass holder
☐ Non-resident

NRIC/FIN

Valid passport number 1

Nationality 1

Valid passport number 2

Nationality 2

+ Add another Individual shareholder

Delete Individual shareholder

4.3 Provide the reason(s) and circumstances for the changes to the shareholding structure.

Section 5: Additional Information

5.1 Organisation chart

Attach the revised organisational chart of the Company if there are any changes. The chart should clearly show the reporting lines of all the employees, including functional reporting lines to staff who are located outside Singapore, and identify employees who are appointed as relevant professionals and/or representatives. The chart should also include job functions and designations of all employees, including those in compliance, risk management and internal audit functions.

5.2 Shareholding chart

Provide the revised shareholding chart that shows how the Company is related to each of its shareholders (including natural persons), and to its related entity(s), subsidiary(s) and branch(s), where applicable, as long as there are any changes in the shareholders of the Company (as updated in section 4). Information on other forms of controlling interests should also be included in the chart. The chart should indicate the percentage of shareholdings or controlling interests held by each person, the date of incorporation and the place of incorporation of each entity.

Section 6: Fit & Proper Declaration

MAS RESERVES THE RIGHT TO TERMINATE THE PROCESSING OF THE APPLICATION AT ANY TIME SHOULD THERE BE INCOMPLETE DISCLOSURES IN THIS SECTION. ANY FAILURE TO PROVIDE COMPLETE DISCLOSURES MAY BE DEEMED AS SUBMITTING FALSE AND MISLEADING INFORMATION TO MAS.

6.1 Please read the Guidelines on Fit and Proper Criteria [Guideline No. FSG-G01] before completing this section.

Complete the following with respect to the Company, its substantial shareholders, shareholder's related entity(s), effective controllers, directors, CEO and representatives. This section is to be completed with respect to any adverse information relating to the factors set out in paragraphs 13 and 15 of Guideline No. FSG-G01 within the past 10 years, except for adverse information relating to the factors set out in paragraphs 13(g) and 13(h) which is to be declared regardless of the time period. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the applicant, substantial shareholders, shareholder's related entity(s), effective controllers, directors, CEO and representatives are considered to be fit and proper persons.

- ☐ The applicant is not aware of any adverse information relating to the Company, its substantial shareholders, shareholder's related entity(s), effective controllers, directors, CEO and/or representatives.
- ☐ Adverse information relating to the Company, its substantial shareholders, shareholder's related entity(s), effective controllers, directors, CEO and/or representatives was declared to MAS previously, and there are no changes to the adverse information.
- ☐ There are changes to the adverse information previously provided to MAS. The Company has assessed and is satisfied that notwithstanding the adverse information, the applicant, its substantial shareholders, controllers, directors, CEO and/or representatives, continue to be fit and proper persons in accordance with Guideline No. FSG-G01. Please provide details and supporting documents below, where relevant.

Provide information below if you selected the 2nd option on question 6.1

Date that previous adverse information was declared to MAS (DD MMM YYYY)

6.2 Provide the details of any new adverse information if you selected the 3rd option on question 6.1.

Adverse Information

Name of individual involved

Name of regulator/authority

Nature of incident

If others, please specify

Date of incident (DD MMM YYYY)

Details of incident

Status of incident

☐ Pending

☐ Finalised

Penalty amount (SGD) (If applicable)

No. of years of imprisonment (If applicable)

Remedial measures taken to address the incident (if any)

Progress of remedial measures (if any)

☐ Ongoing

☐ Completed

Please explain why this individual is fit and proper in accordance with Guideline No. FSG-G01 despite the incident.
(Optional)

+ Add another Adverse Information

Delete Adverse Information

Section 7: Declaration

Name of Director making Declaration

Designation

I declare that:

- ☐ all information given in this form including all supporting documents and attachments (if any), is true and correct.
- ☐ I am fully aware of my duty to not provide false information to the Authority as set out in section 329 of the Act. The provision of information to the Authority that is false or misleading, or the signing of any document lodged with the Authority that is false or misleading, may constitute an offence under section 329 of the Act.