

SECURITIES AND FUTURES ACT
(CAP. 289)
SECURITIES AND FUTURES (CLEARING FACILITIES)
REGULATIONS 2013
REGULATION 9
APPLICATION FOR CHANGE IN STATUS

FORM
4

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the application form.
2. All questions must be answered. If a question is not applicable, please mark "N.A." in the space provided. If there is insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatories to this application.
3. Where there is an asterisk (*), please delete whichever is inapplicable.
4. Please tick (√) in the relevant boxes where appropriate.
5. If there are any changes in the submitted information prior to the grant of approval, the Monetary Authority of Singapore should be notified immediately.
6. This application is to be signed by 2 directors or a director and a secretary of the applicant, and must be accompanied by the following:
 - (i) the relevant documents and information requested in the various parts of this application; and
 - (ii) an email confirmation to the Authority that a fund transfer for the non-refundable application fee prescribed under regulation 4 of the Securities and Futures (Clearing Facilities) Regulations 2013 has been made. The email confirmation should include the remittance advice for the payment. Fund transfer for the application fee should be made to the following bank account:

Account Name: Monetary Authority of Singapore Account 2
Bank Name: DBS Bank Ltd
Bank Address: 12 Marina Boulevard,
Level 3 Marina Bay Financial Centre Tower 3
Singapore 018982
Branch: MBFC Branch
Branch Code: 001
Account Number: 001-027239-0
DBS SWIFT BIC: DBSSSGSG

Please state in the payment instructions that the purpose of the fund transfer is payment of application fees under regulation 4 of the Securities and Futures (Clearing Facilities) Regulations 2013. Please also ensure that any bank or other charges that may be incurred in connection with the transfer has been provided for.

I. NAME OF APPLICANT

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Application is hereby made for change in status under section 9(1) of the Securities and Futures Act (Cap. 289) from —

- an approved clearing house to a recognised clearing house; or
- a recognised clearing house to an approved clearing house

1. Describe the reasons for the application.
2. Give an outline of the applicant's plans with regard to its operations, and expansion or contraction of its business in Singapore and abroad (if applicable) over the next 3 to 5 years.
3. In the case of a recognised clearing house applying to change its status to an approved clearing house, describe and demonstrate, with supporting documents or information how the applicant will satisfy the additional requirements that it would be subject to as an approved clearing house under:
 - a) Part III Division 2 of the Securities and Futures Act; and
 - b) Part III of the Securities and Futures (Clearing Facilities) Regulations 2013.

4. We are aware that section 329(1), (3) and (4) of the Securities and Futures Act (Cap. 289) provide as follows:

329(1) Any person who furnishes the Authority with any information under this Act shall use due care to ensure that the information is not false or misleading in any material particular.

329(3) Any person who (a) signs any document lodged with the Authority; or (b) lodges any document by electronic means using an 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.

329(4) Any person who contravenes subsection (1) or (3) 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.

5. We declare that all information given in this application are true and correct.

_____ Signature	_____ Signature
_____ Name of Director	_____ Name of Director/Secretary*
_____ Date (dd/mm/yy)	_____ Date (dd/mm/yy)