

SECURITIES AND FUTURES ACT
(CAP. 289)
SECURITIES AND FUTURES (REPORTING OF
DERIVATIVES CONTRACTS) REGULATIONS 2013
REGULATION 6(5)
**NOTIFICATION ON BECOMING A
SIGNIFICANT DERIVATIVES HOLDER**

FORM
1A

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, the Monetary Authority of Singapore (the “Authority”) should be notified immediately.
6. This form should be completed after ensuring that the requirements specified in Regulation 6(2) of the Securities and Futures (Reporting of Derivatives Contracts) Regulations 2013 have been satisfied.
7. This notification is to be signed by 2 directors or a director and a secretary of the person lodging this notification.
8. Please submit a soft copy of this form to the Authority via email to webmaster@mas.gov.sg. Please attention the email to Capital Markets Intermediaries Department III.

FOR OFFICIAL USE ONLY
Notification received on:
Remarks:

I. NAME OF PERSON LODGING NOTIFICATION

Notification is hereby given that the abovementioned person has satisfied the requirements in Regulation 6(2) on _____ (dd/mm/yyyy).

II. DETAILS OF PERSON LODGING NOTIFICATION

(a) Legal Entity Identifier (LEI) or NRIC/FIN (for individuals):

(b) Registered address in Singapore:

(c) Date of incorporation:

(d) Country of incorporation:

(e) URL of internet web page (where applicable):

(f) Type of business entity:

Company - Branch of a Foreign Company / Company- Private Company /
Company - Limited Liability / Limited Partnership / Partnership / Sole
Proprietorship*

(g) Business activity – Singapore Standard Industrial Classification (SSIC) Code:

(h) Is the notifying person affiliated to a financial entity? If yes, please provide the name and LEI of the financial entity:

No / Yes *

III. DETAILS OF CONTACT PERSON

(a) Full name:

(b) Designation:

(c) Email:

(d) Contact number:

IV. INFORMATION REGARDING SPECIFIED DERIVATIVES CONTRACTS TO WHICH PERSON LODGING THE NOTIFICATION IS A PARTY

Please provide a breakdown of the specified derivatives contracts to which the person lodging the notification is a party, for the quarter in which the person satisfies the requirements in Regulation 6(2), and each of the three quarters immediately preceding that quarter.

<p>Holding period</p> <p><i>Note: Each quarter should consist of 3 months beginning on either: 1st January, 1st April, 1st July or 1st October, depending on when the person lodging the notification satisfies the requirements in Regulation 6(2).</i></p>	<p>Quarter 1</p>	<p>Quarter 2</p>	<p>Quarter 3</p>	<p>Quarter 4</p> <p><i>Note: This is the quarter in which the person lodging the notification satisfies the requirements in Regulation 6(2).</i></p>	<p>Sum of 4 periods</p> <p><i>Note: This amount should be the sum of the 4 quarters.</i></p>
<p>Aggregate gross notional amount of specified derivatives contracts to which the person lodging the notification is a party and which are booked in Singapore during that period (in SGD millions)</p>					
<p>Aggregate gross notional amount of specified derivatives contracts to which the person lodging the notification is a party and which are traded in Singapore during that period (in SGD millions)</p>					

V. DECLARATION

We are aware that sections 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 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.

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.

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

Signature

Signature

Name of Director

Name of Director/Secretary*

Date (dd/mm/yy)

Date (dd/mm/yy)