

SECURITIES AND FUTURES ACT
(CAP. 289)
SECTION 8(3)(a)
APPLICATION FOR CHANGE IN STATUS

FORM

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Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the 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 completion of the review of this application, 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 relevant documents and information requested in the various parts of this application.
7. This application must be accompanied by the following:
 - (i) certified true copies of the applicant's articles and memorandum of association, certificate of incorporation and constitution with all subsequent amendments;
 - (ii) an email confirmation to the Authority that a fund transfer for the nonrefundable application fee prescribed under regulation 4 of the Securities and Futures (Organised Markets) Regulations 2018 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 (Organised Markets) Regulations 2018. 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

Application is hereby made for change in status under section 11(1) of the Securities and Futures Act (Cap. 289) from —

- an approved exchange to a recognised market operator; or
- a recognised market operator to an approved exchange

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 market operator applying to change its status to an approved exchange, 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 exchange under:
 - (a) Part II Division 2 of the Securities and Futures Act; and
 - (b) Part 3 of the Securities and Futures (Organised Markets) Regulations 2018

II DECLARATION

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

1. **Any person who signs any document lodged with the Authority shall use due care to ensure that the document is not false or misleading in any material particular. Any person who contravenes this requirement 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.**
2. 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)