

SECURITIES AND FUTURES ACT
(CHAPTER 289)

SECURITIES AND FUTURES (FINANCIAL AND MARGIN REQUIREMENTS FOR
HOLDERS OF CAPITAL MARKETS SERVICES LICENCES) REGULATIONS (Rg 13)

REGULATION 27(9) (a)

**STATEMENT RELATING TO
THE ACCOUNTS OF A HOLDER OF
A CAPITAL MARKETS SERVICES LICENCE
- SUPPLEMENTARY INFORMATION**

FORM

4

Name of the holder of a capital markets services licence: _____

The following supplementary information is submitted in support of the attached financial statements for the year ended ____ 20__.

	<i>Previous year</i> 20_ \$	<i>Current year</i> 20_ \$
(1) Total funds under management	_____	_____
Breakdown		
(a) (i) Institutional clients		_____
(ii) Individual clients ¹		_____
Total ²		_____
(b) (i) Funds included under CPF Investment Schemes		
- CPF monies ³		_____
- Non-CPF monies ⁴		_____
(ii) Funds not included under CPF Investment Schemes		_____
Total ²		_____

¹ Including unit trusts and high net worth individuals.

² This amount should tally with current year's funds under investment management as reported in (1).

³ This amount refers to CPF monies that are invested in funds included under CPF Investment Schemes.

⁴ This amount includes, but is not limited to, cash and the contributions from Supplementary Retirement Schemes invested in funds included under CPF Investment Schemes.

(c) (i) Funds contracted and under discretionary management (includes related corporations) ⁵	_____
(ii) Funds contracted and under advisory service (includes related corporations) ⁶	_____
(iii) Funds contracted that are not managed or advised, but managed by another corporation (includes related corporations) ⁷	_____
- By corporations located in Singapore	_____
- By corporations located outside Singapore	_____
Total ²	=====
(2) Number of custody accounts ⁸	_____
(3) Total market value of assets under custody	
Breakdown	
(i) Equities	_____
(ii) Bonds	_____
(iii) Unit Trusts	_____
(iv) Others	_____
Total	=====

⁵ Refer to the management of funds where licensee has substantial input in the investment process and where it has the authority to make investment decisions. If the licensee manages a portion of the fund, include only the portion where the licensee has discretionary management responsibility.

⁶ Refer to the management of funds where the licensee acts in the capacity as an adviser and without the authority to make investment decisions.

⁷ Refers to funds where management is sub-contracted to another corporation.

⁸ Applicable only to licensees conducting the regulated activity of providing custodial services.

- (4) Number of IPOs brought to market ⁹ _____
- (5) Total amount raised by IPOs brought to market⁹ _____
- (6) Total number of properties¹⁰
- Breakdown
- (i) In Singapore _____
- (ii) Outside Singapore _____
- Total _____
- (7) Appraised value of properties¹⁰
- Breakdown
- (i) In Singapore _____
- (ii) Outside Singapore _____
- Total _____

STATEMENT BY HOLDER OF CAPITAL MARKETS SERVICES LICENCE

This statement is submitted on behalf of (Name of the licensee) by (Name of Director), who certifies that:

- (a) the above statement has, to the best of his knowledge and belief, been drawn up to comply with the requirements of the Securities and Futures Act (Cap. 289) and the requirements as may be prescribed or specified by the Authority; and
- (b) the information contained in the above statement is to the best of his knowledge and belief true and correct.

Dated this (dd/mm/yy): _____

Note:

If any part of this report is qualified, a separate report giving details of such qualifications shall be submitted to the Authority together with the statements and forms referred to in regulation 27(8) and (9). Submission shall be made by personal delivery or by pre-paid post.

⁹ Applicable only to licensees conducting the regulated activity of advising on corporate finance. Refers to the number of and total amount raised by issuers (for whom the licensee acts as an IPO issue manager) admitted to the official list of the Singapore Exchange Securities Trading Ltd in the respective year. If an IPO has more than one issue manager, to divide the total amount raised by the total number of comanagers.

¹⁰ Applicable only to licensees conducting REIT management activity. Please include all properties owned by the REIT managed by the licensee in respect of its REIT management activity.