

SECURITIES AND FUTURES ACT (CHAPTER 289)
SECURITIES AND FUTURES (OFFERS OF
INVESTMENTS) (COLLECTIVE INVESTMENT
SCHEMES) REGULATIONS 2005
**APPLICATION FOR RECOGNITION OF A
COLLECTIVE INVESTMENT SCHEME UNDER
SECTION 287(1)**

FORM

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I 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. Should there be 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. Unless stated otherwise, the information provided in the application form must be correct as at a date not earlier than 14 days before the date of application.
6. All dollar amounts are to be stated in Singapore dollars.
7. This application is to be made by the responsible person of the collective investment scheme constituted outside Singapore seeking recognition under section 287(1) of the Securities and Futures Act (Cap. 289), and signed by 2 Directors or a Director and the Secretary of the responsible person. A Director or the Secretary may authorise a person in writing to sign this application on his behalf, in which case, the authorisation or a copy of the authorisation accompanied by a statement by the person submitting the application verifying that he has compared the copy with the original authorisation and is satisfied that it is a true copy of the original authorisation, shall be annexed to the application.
8. Where the responsible person of the collective investment scheme has notice of a material change in the information submitted as part of this application prior to recognition being granted by the Monetary Authority of Singapore, the responsible person should notify the Authority immediately.
9. Please attach a Singapore dollar cheque or Singapore dollar bank draft made payable to "Monetary Authority of Singapore" for the non-refundable application fee prescribed under regulation 4 of the Securities and Futures (Offers of Investments) (Collective Investment Schemes) Regulations 2005.

FOR OFFICIAL USE ONLY

Application received on:

Cheque No:

Remarks:

II APPLICATION IS HEREBY MADE FOR RECOGNITION UNDER SECTION 287(1) OF THE SECURITIES AND FUTURES ACT (CAP. 289).

III INFORMATION ON THE COLLECTIVE INVESTMENT SCHEME

1. Name of the collective investment scheme (“the scheme”):

2. If the scheme is/is to be* a sub-fund of an umbrella fund, state the name of the umbrella fund.

- 3.(a) State the type of scheme, the jurisdiction and applicable law (relating to the type of scheme) under which the scheme is/will be* principally regulated, and the regulatory authority of the scheme.

- (b) State the jurisdiction in which the scheme was constituted (if different from that stated in question 3(a)).

4. Please attach evidence of the scheme’s registered status in the jurisdiction stated in question 3(a). If an application has been made for registration of the scheme there but the scheme has yet to be registered, please submit evidence to the Authority immediately upon the scheme’s registration in that jurisdiction.
5. In the case of a scheme which is authorised as UCITS III in the European Union and which intends to use or invest in financial derivative instruments, please attach –
 - (a) documentation of the scheme’s risk management process filed with the regulatory authority stated in 3(a); and
 - (b) where available, evidence that the scheme’s risk management process has been approved by that regulatory authority.
6. Describe the investment objective(s) of the scheme.

7. Please attach copies of the scheme’s prospectus and latest audited financial statements (if applicable).
8. Fund size of the scheme in equivalent Singapore dollars (if applicable):

9. Place where books and records of the scheme are/will be* kept:

10. Indicate the structure of the scheme.
 - Unit Trust
 - Corporation
 - Other (specify) _____

11. Please confirm that the scheme is not a closed-end fund¹ constituted either as an entity or a trust².

IV INFORMATION ON THE MANAGER

12. Name of manager of the scheme:

13. Place of incorporation of manager:

14. Name of regulatory authority of manager:

15. Is the manager currently licensed or authorised to conduct fund management in the jurisdiction of its principal place of business? Yes No

16. Number of years manager has managed funds:

17. Total assets under management (latest available figures):

(a) Collective investment schemes _____

(b) Other _____

Total _____

as at (date) _____

18. Within the past 10 years, has the manager had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in its principal place of business or elsewhere, or are there any proceedings now pending that may lead to such a judgment or imposition of penalty? Yes No

19. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the manager in its principal place of business or elsewhere? Yes No

20. Within the past 10 years, has the manager been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in its principal place of business or elsewhere? Yes No

21. Within the past 10 years, has the manager been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in its principal place of business or elsewhere? Yes No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 18 to 21 is "Yes".

22. Name of entity in Singapore (either the manager or an entity related to the manager) managing funds either as the holder of a capital markets services licence or as an exempt person:

¹ As defined under section 2 of the Securities and Futures Act (Cap. 289).

² A closed-end fund constituted either as an entity or a trust is excluded from the definition of a collective investment scheme. Hence, application for recognition as a collective investment scheme is not applicable to such a fund.

23. Relationship between the entity in Singapore and the manager (where the entity named in the answer to question 22 is not the manager):

24. Amount of discretionary funds³ managed in Singapore by manager/related entity* (latest available figures):

_____ as at (date) _____

V INFORMATION ON INVESTMENTS IN OTHER COLLECTIVE INVESTMENT SCHEMES

25. Is/Will* more than 10% of the scheme be invested in any other collective investment scheme (“other scheme”)? Yes No

If the answer to question 25 is “Yes”, please answer question 26. Otherwise, proceed to Part VI.

26. Please attach for each other scheme a copy of its prospectus and annex(es) containing the following details:

- (a) Name of other scheme;
- (b) Percentage of the scheme to be invested in other scheme;
- (c) Place of registration of other scheme;
- (d) Regulatory authority of other scheme;
- (e) Type of scheme and relevant law under which the other scheme is regulated in its place of registration;
- (f) Name of manager of other scheme;
- (g) Place of incorporation of manager of other scheme;
- (h) Name of regulatory authority of manager of other scheme;
- (i) Number of years manager of other scheme has managed funds;
- (j) Amount of funds managed by manager of other scheme;
- (k) Brief description of relationship between manager of other scheme and manager, if applicable.

VI INFORMATION ON SUBMANAGERS

27. Is/Will* more than 10% of the scheme be managed by a submanager? Yes No

28. If the answer to question 27 is “Yes”, please attach annex(es) containing the following details for each submanager:

- (a) Name of submanager;
- (b) Place of registration of submanager;
- (c) Name of regulatory authority of submanager;
- (d) Number of years submanager has managed funds;

³ Funds managed in-house by the manager/related entity, where the manager/related entity has substantial input in the investment management process, and where it has the authority to make investment decisions. If the manager/related entity manages a portion of a fund (e.g. the Asian mandate of a global fund) include only the portion where the manager/related entity has discretionary management responsibility.

- (e) Amount of funds managed by submanager;
- (f) Brief description of relationship between submanager and manager, if applicable.

VII INFORMATION ON THE RESPONSIBLE PERSON⁴

29. Do any of the following situations apply to the responsible person or are there circumstances now existing that are likely to result in the occurrence of any such situation:

- (a) the responsible person is in the course of being wound up or otherwise dissolved whether in Singapore or elsewhere. Yes No
- (b) a receiver, a receiver and manager or an equivalent person has been appointed, whether in Singapore or elsewhere, in relation to or in respect of any property of the responsible person. Yes No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 29(a) and (b) is "Yes".

VIII INFORMATION ON THE PROPOSED REPRESENTATIVE

30. Name of proposed representative in Singapore:

30A. Where the proposed representative in Singapore is a company, or a foreign company registered under Part XI, Division 2 of the Companies Act (Cap. 50), name of an officer designated as the contact person:

31.(a) Residential address:

(b) Telephone No.: _____

(c) Email address: _____

- 32. Within the past 10 years, has the representative had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in Singapore or elsewhere, or are there any proceedings now pending that may lead to such a judgment or imposition of penalty? Yes No
- 33. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the representative in Singapore or elsewhere? Yes No
- 34. Within the past 10 years, has the representative been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in any place? Yes No
- 35. Within the past 10 years, has the representative been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in Singapore or elsewhere? Yes No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 32 to 35 is "Yes".

⁴ Where the scheme is constituted as a corporation, the responsible person is the corporation itself. Otherwise, the responsible person is the manager of the scheme.

IX INFORMATION ON THE CUSTODIAN AND, WHERE APPLICABLE, THE TRUSTEE

36. Name(s) of the custodian and, where applicable, the trustee of the scheme:

37. Place(s) of incorporation of the custodian and, where applicable, the trustee:

38. Name(s) of regulatory authority(ies) of the custodian and, where applicable, the trustee:

39. Are the custodian and, where applicable, the trustee currently licensed or authorised to carry out their duties as custodian or trustee, as the case may be, in the jurisdiction of its principal place of business? Yes No

40. Within the past 10 years, has the trustee or custodian had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in its principal place of business or elsewhere, or are there any proceedings now pending that may lead to such a judgment or imposition of penalty? Yes No

41. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the trustee or custodian in its principal place of business or elsewhere? Yes No

42. Within the past 10 years, has the trustee or custodian been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in its principal place of business or elsewhere? Yes No

43. Within the past 10 years, has the trustee or custodian been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in its principal place of business or elsewhere? Yes No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 40 to 43 is “Yes”.

X MISCELLANEOUS

44. Please set out as annex(es) any additional information considered relevant or material to this application.

XI DECLARATION

Section 329(3) of the Securities and Futures Act (Cap. 289) requires any person who signs a document lodged with the Authority to use due care in ensuring that the document is not false or misleading in any material particular. Any person who fails to do so 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 to the best of our knowledge and belief all information given in this application form and in the attached annex(es) is true and correct.

Dated this _____ day of _____ 20 __.

Signature: _____

Signature: _____

(Name of Director)

(Name of Director/Secretary*)

Details of one of the signatories or a contact person designated by the signatories to this form

Name: _____

Designation: _____

Corporation: _____

Address: _____

Email address: _____

Tel No.: _____ Fax No.: _____