

SECURITIES AND FUTURES ACT (CHAPTER 289)  
SECURITIES AND FUTURES (OFFERS OF  
INVESTMENTS) (COLLECTIVE INVESTMENT  
SCHEMES) REGULATIONS 2005  
**APPLICATION FOR AUTHORISATION OF A  
RESTRICTED SCHEME UNDER PARAGRAPH 2 OF  
THE SIXTH SCHEDULE**

FORM  
**4**

**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. This application is to be made by the manager of a restricted scheme (as defined in regulation 2 of the Securities and Futures (Offers of Investments) (Collective Investment Schemes) Regulations 2005) constituted in Singapore as a unit trust seeking authorisation under paragraph 2 of the Sixth Schedule of those Regulations, and signed by 2 Directors or a Director and the Secretary of the manager. 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.
7. Where the manager of the restricted scheme has notice of a material change in the information submitted as part of this application prior to authorisation being granted by the Monetary Authority of Singapore, the manager should notify the Authority immediately.
8. 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 AUTHORISATION UNDER PARAGRAPH 2 OF THE SIXTH SCHEDULE OF THE SECURITIES AND FUTURES (OFFERS OF INVESTMENTS) (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS 2005**

**III INFORMATION ON THE RESTRICTED SCHEME**

1. Name of the restricted scheme (“the scheme”):  
\_\_\_\_\_
2. If the scheme is to be a sub-fund of an umbrella fund, state the name of the umbrella fund.  
\_\_\_\_\_
3. Please confirm that the scheme is not a closed-end fund<sup>1</sup>.

**IV INFORMATION ON THE TRUSTEE AND MANAGER**

4. Name of trustee to be appointed for the scheme:  
\_\_\_\_\_
5. Name of manager for the scheme:  
\_\_\_\_\_
6. Indicate which of the following applies to the manager:
  - Holder of capital markets services licence for fund management
  - Bank licensed under the Banking Act (Cap. 19)
  - Other (specify) \_\_\_\_\_
7. Do any of the following situations apply to the manager or are there circumstances now existing that are likely to result in the occurrence of any such situation:
  - (a) the manager 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 manager. Yes  No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 7(a) and (b) is “Yes”.

**V MISCELLANEOUS**

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

<sup>1</sup> As defined under section 2 of the Securities and Futures Act (Cap. 289). A closed-end fund constituted as a unit trust is excluded from the definition of a collective investment scheme. Hence, application for restricted authorisation as a collective investment scheme is not applicable to such a fund.

**VI 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.: \_\_\_\_\_