

SECURITIES AND FUTURES ACT (CHAPTER 289)
SECURITIES AND FUTURES (OFFERS OF
INVESTMENTS) (COLLECTIVE INVESTMENT
SCHEMES) REGULATIONS 2005
**APPLICATION FOR RECOGNITION OF A
RESTRICTED SCHEME UNDER PARAGRAPH 3 OF
THE SIXTH SCHEDULE**

FORM
5

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 responsible person of a restricted scheme (as defined in regulation 2 of the Securities and Futures (Offers of Investments) (Collective Investment Schemes) Regulations 2005) constituted outside Singapore seeking recognition under paragraph 3 of the Sixth Schedule of those Regulations, 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.
7. Where the responsible person of a restricted 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.
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 RECOGNITION UNDER PARAGRAPH 3 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 a sub-fund of an umbrella fund, state the name of the umbrella fund.

3. State the jurisdiction under which the scheme is principally governed.

4. Indicate the structure of the scheme.
 - Unit Trust
 - Corporation
 - Other (specify) _____
5. Please confirm that the scheme is not a closed-end fund¹ constituted either as an entity or a trust².

IV INFORMATION ON THE MANAGER

6. Name of manager for the scheme:

7. Place of incorporation of manager:

8. Name of regulatory authority of manager:

9. Is the manager currently licensed or authorised to conduct fund management in the jurisdiction of its principal place of business? Yes No
10. 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, whether 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
11. 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 whether in its principal place of business or elsewhere? Yes No
12. 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 whether in its principal place of business or elsewhere? Yes No

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 restricted recognition as a collective investment scheme is not applicable to such a fund.

13. Within the past 10 years, has the manager been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity whether 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 10 to 13 is “Yes”.

V INFORMATION ON THE RESPONSIBLE PERSON³

14. 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 14(a) and (b) is “Yes”.

VI MISCELLANEOUS

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

³ 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.

VII 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.: _____