

SECURITIES AND FUTURES ACT
(CAP. 289)

SECURITIES AND FUTURES (CLEARING
FACILITIES) REGULATIONS 2013

REGULATION 6(a)

**INFORMATION ON CHIEF EXECUTIVE OFFICER
AND DIRECTORS**

FORM

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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. 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. Please use a separate form for the chief executive officer and each director of the applicant.
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. If there are any changes in the submitted information prior to the approval or recognition under Form 1, the Monetary Authority of Singapore should be notified immediately.

1. Provide the following details for the chief executive officer or the director of the applicant.

(a) Name (Mr/Miss/Mrs/Mdm/Dr*):

(b) Residential address and country:

(c) Status:

Chief Executive Officer

Director

(d) Telephone and facsimile number(s):

Home:

Office:

Facsimile:

(e) Place of birth and date of birth (dd/mm/yy):

(f) Nationality (for non-Singapore citizens, please state whether you are a Singapore permanent resident):

(g) Identity card number/Unique identification number (for Singapore citizen or permanent resident)/ Passport number (for non-Singapore citizen):

2. Set out in the following format information on the chief executive officer's or director's highest academic and professional qualifications attained.

<i>Name and location of school/college/university/institution</i>	<i>Period (mm/yy)</i>		<i>Certificate/diploma/degree awarded/professional qualification</i>
	<i>From</i>	<i>To</i>	

3. Set out in the following format information on the chief executive officer's or director's employment history (including periods of part-time employment or unemployment), business and other activities during the past 10 years.

<i>Name and address of employer (if self-employed, please indicate)</i>	<i>Nature of business of employer</i>	<i>Designation and Department</i>	<i>Brief description of duties</i>	<i>Period (mm/yy)</i>	
				<i>From</i>	<i>To</i>

4. Set out in the following format information on the chief executive officer's or director's directorships in any corporation.

<i>Name of corporation and place of incorporation</i>	<i>Nature of business</i>	<i>Directorship (executive/non-executive)</i>	<i>Date of appointment (mm/yy)</i>	<i>Percentage shareholding in corporation (if any)</i>

5. DECLARATION

1. We are aware that section 329(1), (3) and (4) of the Securities and Futures Act (Cap. 289) provide as follows:

329(1) Any person who furnishes the Authority with any information under this Act shall use due care to ensure that the information is not false or misleading in any material particular.

329(3) Any person who (a) signs any document lodged with the Authority; or (b) lodges with the Authority any document by electronic means using any identification or identifying code, password or other authentication method or procedure assigned to him by the Authority, shall use due care to ensure that the document is not false or misleading in any material particular.

329(4) Any person who contravenes subsection (1) or (3) 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 and in the attached annexes and forms (if any) are true and correct.

_____	_____
Signature	Signature
_____	_____
Name of Director	Name of Director/Secretary*
_____	_____
Date (dd/mm/yy)	Date (dd/mm/yy)