

SECURITIES AND FUTURES ACT
(CAP. 289)

SECURITIES AND FUTURES (TRADE
REPOSITORIES) REGULATIONS 2013

REGULATION 6(a)

**INFORMATION ON SHAREHOLDERS AND
SUBSIDIARIES**

FORM

3

Explanatory Notes

1. Please read the explanatory notes and questions carefully before completing the 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 signatory to this application.
3. Where there is an asterisk (*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. 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.
6. If there are any changes in the submitted information prior to the grant of licence under Form 1, the Monetary Authority of Singapore should be notified immediately.

1. Provide a diagrammatic representation of the applicant's group ownership structure showing the applicant's shareholders (whether corporation or individual) who hold 5% or more of the applicant's issued share capital, and the applicant's subsidiaries. Details to be provided at each ownership level should include each shareholder's percentage shareholding ownership in the applicant and the applicant's percentage shareholding ownership in each of its subsidiaries.
2. Provide the following details on the applicant's parent entity (if applicable) or a majority shareholder who is an entity:
 - (a) name:
 - (b) address and country of the principal place at which the business is carried out:
 - (c) telephone number and facsimile number:
 - (d) e-mail address and URL of the internet web page (if applicable):
 - (e) registered office (address and country):
 - (f) form of entity (e.g., association, corporation, etc.):
 - (g) date and place of formation or incorporation:
 - (h) brief description of business or functions:
 - (i) names of the chairman, members of the board of directors and chief executive officer of the shareholder:
 - (j) if applicable, list of names and addresses of persons holding 50% or more of the share capital of the shareholder; and
 - (k) attach certified true copies of the latest audited profit and loss account, audited balance-sheet and auditors' report, by whatever name called.

3. Provide the following details on the applicant's majority shareholder who is a natural person:
- (a) name:
 - (b) residential address and country:
 - (c) telephone number and facsimile number:
 - (d) place of birth and date of birth (dd/mm/yy):
 - (e) nationality:
 - (f) identity card number/unique identification number (for Singapore citizen or permanent resident)/passport number (for non-Singapore citizen):
 - (g) occupation:
 - (h) directorships held in other corporations:
4. If anyone, other than those stated as directors and shareholders of the applicant under Form 2 of the Securities and Futures (Trade Repositories) Regulations 2013 or this Form, has ultimate controlling interest in the applicant, or directly or indirectly exercises or has the power to exercise controlling influence over the management and policies of the applicant, give details of each such person including the name, nationality, identity card number, unique identification number (for Singapore citizen or permanent resident) or passport number (for non-Singapore citizen), address, occupation, academic/professional qualifications and executive directorship in any other corporation.
5. Provide the following details on the applicant's subsidiaries (use a separate sheet for each subsidiary):
- (a) name:
 - (b) address and country of the principal place at which the business is carried out:
 - (c) date and place of incorporation:

(d) brief description of business or functions:

(e) names of the chairman, other members of the board of directors and chief executive officer:

6. 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 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)