

**SECURITIES AND FUTURES (DISCLOSURE OF INTERESTS)  
REGULATIONS 2010**

**DISCLAIMER: This version of the Regulations is in draft form and subject to change. It is also subject to review by the Attorney-General's Chambers.**

**No. S 000 -**

**SECURITIES AND FUTURES ACT  
(CHAPTER 289)**

**SECURITIES AND FUTURES (DISCLOSURE OF INTERESTS)  
REGULATIONS 2010**

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In exercise of the powers conferred by sections 131(3) and (4), 133(3)(a), 135(2)(a), 136(2), 137(2), 137B, 137F(4), 137G(2), 137I(3) and (4), 137J as applied by 135(2)(a), 136(2), 137(2) and 137B, 137M(4), 137N(2)(a), 137P(2), 137R(2), 137T(3) and (4), 137U as applied by 135(2)(a), 136(2), 137(2) and 137B, 137X(4), 137Y(2)(a), 137ZA(2), 137ZC(2), 337(1) and 341 of the Securities and Futures Act, the Monetary Authority of Singapore hereby makes the following Regulations:

**PART I**

**PRELIMINARY**

**Citation and commencement**

1. These Regulations may be cited as the Securities and Futures (Disclosure of Interests) Regulations 2010 and shall come into operation on 2010.

## Forms

2. (1) The forms to be used for the purposes of Divisions 1, 2 and 3 of Part VII of the Act and these Regulations are those set out at the Authority's Internet website at <http://www.mas.gov.sg> (under "Regulations and Licensing"), and any reference in these Regulations to a numbered form shall be construed as a reference to the current version of the form bearing the corresponding number which is displayed at that website.

(2) Any notice under Divisions 1, 2 and 3 of Part VII of the Act and these Regulations shall be given using the relevant form set out in the First Schedule to these Regulations.

(3) Any notification or disclosure under Divisions 1, 2 and 3 of Part VII of the Act and these Regulations by way of Form 6, 7, 8 or 9 shall be made electronically via the electronic network operated by the relevant securities exchange.

(4) All forms used for the purposes of Divisions 1, 2 and 3 of Part VII of the Act and these Regulations shall be completed in the English language and in accordance with such directions and in such manner as may be specified in the forms or by the Authority.

(5) Where strict compliance with the requirements of any form is not possible in any particular case, the Authority may allow for modifications to be made to that form, or for the requirements of that form to be complied with in such other manner as the Authority thinks fit.

## PART II

### EXEMPTIONS

#### **Exemption from Part VII of the Act for securities lending transaction**

3. — (1) Part VII of the Act shall not apply to —

- (a) any person, being the holder of a capital markets services licence or an exempt person, who acts as a securities lending intermediary in a securities lending transaction where the securities are transferred to and out of that person's securities account within 2 business days; or
- (b) any substantial shareholder, not being a person referred to in subparagraph (a), who lends his securities to any borrower pursuant to a securities lending arrangement, subject to the condition that there is in force between the substantial shareholder and the borrower an agreement for the lending of the securities which provides that the substantial shareholder shall —
  - (i) retain all beneficial interests in the securities; and
  - (ii) be in a position to exercise any of his rights as a shareholder of the securities.

(2) In this regulation —

“borrower” includes a securities lending intermediary; and

“securities”, in relation to a securities lending transaction, means the shares that are the subject of the securities lending transaction.

- (1) Explanatory Note: Regulation 3 above replicates the current Companies (Exemption from Notification of Substantial Shareholding) Order 2004 which will be repealed when these Regulations are effected.

**Exemption from Part VII of the Act for acquisition of securities following a take-over offer**

4. — Part VII of the Act shall not apply to —

(a) any person, being a person who has made a take-over offer; or

(b) any person who is deemed to have an interest in the securities held by the person referred to in sub-paragraph (a),

in respect of the acquisition of securities by the person referred to in sub-paragraph (a) following the take-over offer made by him during the period from the date on which the take-over offer has been declared unconditional in all respects to the close of the offer, subject to the condition that the take-over offer is made in compliance with the Take-over Code.

- (2) Explanatory Note: Regulation 4 is proposed to exempt an offeror from the reporting requirements under Part VII if the change in its interest is due to acceptances received after its take-over offer for the listed company has been declared unconditional in all respects. It is noted that the offeror is already required to comply with the relevant notification announcement requirements under the Take-over Code. Market is also informed about the take-over offer and would expect the offeror’s interest to increase during the period after the offer is declared unconditional in all respects to the close of the offer (the “Relevant Period”). Hence, we consider that requiring the offeror to also notify the market of every change in percentage level of its interest during the Relevant Period would be too onerous.

**Exemption from section 136(1), section 136(1) as applied by section 137J(1) and section 136(1) as applied by section 137U(1) of Act for fund managers**

**5.** — (1) Section 136(1), section 136(1) as applied by section 137J(1) and section 136(1) as applied by section 137U(1) of the Act shall not apply to any person who is —

- (a) the holder of a capital markets services licence for fund management;
- (b) an exempt person in respect of fund management; or
- (c) a person who is licensed, approved, authorised or otherwise regulated under the laws, codes or other requirements of any foreign jurisdiction in respect of fund management, or who is exempted therefrom in respect of fund management,

in respect of any change in interest in his capacity as a person referred to in paragraph (a), (b) or (c) which results in his percentage of interest in the shares of a corporation, units in a business trust or units in a real estate investment trust reaching, crossing or falling below 6%, 7%, 8% or 9%.

**(3) Explanatory Note:** MAS has received feedback that the requirement to disclose interests in shares over which a person does not exercise voting rights is too onerous. There are requests for MAS to exempt fund management activities from substantial shareholding notification requirements.

MAS considers that transparency over changes in ownership and voting control in the company on a timely basis is important to facilitate a fair and efficient market that inspires public confidence. In this regard, MAS is not inclined to exempt fund managers from the requirement to report significant shareholdings. Nonetheless, MAS notes the argument that fund managers, being in the business of managing securities, should be provided with added flexibility to deal in securities without being subject to stringent reporting requirements. Accordingly, MAS proposes to introduce a more flexible reporting regime for fund managers set at 5%, 10% and every percentage level thereafter. This is in line with the practice in the United Kingdom.

## FIRST SCHEDULE

Regulation 2

## FORMS

Provision of Act	Matter	Form
Notification by director or chief executive officer (including a director or chief executive officer who is a substantial shareholder of the corporation or substantial unitholder of the registered business trust or real estate investment trust)		
Section 133(3)(a), section 135(2)(a), 136(2) or 137(2)	Notification by director or chief executive officer (including a director or chief executive officer who is also a substantial shareholder) of interests or change in interests in a corporation to corporation	1
Section 137N(2)(a), section 135(2)(a), 136(2) or 137(2), as applied by section 137J(1)	Notification by director or chief executive officer (including a director or chief executive officer who is also a substantial unitholder) of interests or change in interests in a registered business trust to trustee-manager	
Section 137Y(2)(a), section 135(2)(a), 136(2) or 137(2), as applied by section 137U(1)	Notification by director or chief executive officer (including a director or chief executive officer who is also a substantial unitholder) of interests or change in interests in a real estate investment trust to responsible person	
Section 133(3)(a)	Notification by director or chief executive officer of interests or change in interests in a related corporation of a corporation to corporation	2
Notification by substantial shareholder or unitholder (excluding a substantial shareholder or unitholder who is also a director or chief executive officer of the corporation, trustee-manager or responsible person, as the case may be)		
Sections 135(2)(a), 136(2) or 137(2)	Notification by substantial shareholder of interests or change in interests in a corporation to corporation	3
Section 135(2)(a), 136(2) or 137(2), as applied by section 137J(1)	Notification by substantial unitholder of interests or change in interests in a registered business trust to trustee-manager	
Section 135(2)(a), 136(2) or 137(2), as applied by section 137U(1)	Notification by substantial unitholder of interests or change in interests in a real estate investment trust to trustee and responsible person	
Notification by person who holds, acquires or disposes of interests for the benefit of another person		
Section 137B	Notification of interests or change in interests in a corporation to beneficial owner	

<i>Provision of Act</i>	<i>Matter</i>	<i>Form</i>
Section 137B as applied by section 137J(1)	Notification of interests or change in interests in a registered business trust to beneficial owner	4
Section 137B as applied by section 137U(1)	Notification of interests or change in interests in a real estate investment trust to beneficial owner	
<i>Notification by holders of voting shares in trustee-manager or responsible person</i>		
Section 137P(2)	Notification by shareholders of trustee-manager of change in interests in a trustee-manager to trustee-manager	5
Section 137ZA(2)	Notification by shareholders of responsible person of change in interests in a responsible person to responsible person	
<i>Notification by corporation, trustee-manager or responsible person, as the case may be</i>		
Section 137G(2) in respect of section 137G(1)(a)	Notification by corporation of director's or chief executive officer's (including a director or chief executive officer who is a substantial shareholder) interests or change in interests in the corporation to the securities market	6
Section 137R(2) in respect of section 137R(1)(b)(ii)	Notification by trustee-manager of director's or chief executive officer's (including a director or chief executive officer who is a substantial unitholder) interests or change in interests in the registered business trust to the securities market	
Section 137ZC(2) in respect of section 137ZC(1)(b)(ii)	Notification by responsible person of director's or chief executive officer's (including a director or chief executive officer who is a substantial unitholder) interests or change in interests in the real estate investment trust to the securities market	
Section 137G(2) in respect of section 137G(1)(b)	Notification by corporation of substantial shareholder's (excluding a substantial shareholder who is also a director or chief executive officer of the corporation) interests or change in interests in a corporation to the securities market	7
Section 137R(2) in respect of section 137R(1)(b)(i)	Notification by trustee-manager of substantial unitholder's (excluding a substantial unitholder who is the trustee-manager of the business trust, or a director or chief executive officer of the trustee-manager) interests or change in interests in a registered business trust to the securities market	
Section 137ZC(2) in respect of section 137ZC(1)(b)(i)	Notification by responsible person of substantial unitholder's (excluding a substantial unitholder who is the responsible person of the real estate investment trust, or a director or chief executive officer of the responsible person) interests or change in interests in a real estate investment trust to the securities market	

<i>Provision of Act</i>	<i>Matter</i>	<i>Form</i>
Section 137R(2) in respect of section 137R(1)(a), section 135(2)(a), 136(2) or 137(2), as applied by section 137J(1)	Notification by trustee-manager (including a trustee-manager who is a substantial unitholder of the registered business trust) of acquisition or disposal of interests in a registered business trust to the securities market	8
Section 137ZC(2) in respect of section 137ZC(1)(a), section 135(2)(a), 136(2) or 137(2), as applied by section 137U(1)	Notification by responsible person (including a responsible person who is a substantial unitholder of the real estate investment trust) of acquisition or disposal of interests in a real estate investment trust to the securities market	
Section 137R(2) in respect of section 137R(1)(b)(iii)	Notification by trustee-manager of its substantial shareholder's change in interests in the trustee-manager to the securities market	9
Section 137ZC(2) in respect of section 137ZC(1)(b)(iii)	Notification by responsible person of its substantial shareholder's change in interests in the responsible person to the securities market	
Notification of beneficial interests in voting shares or voting units, as the case may be		
Section 137F(4) read with section 137F(1), (2), or (3)	Notification by shareholder to corporation of beneficial interest in voting shares in a corporation	10
Section 137M(4) read with section 137M(1), (2), or (3)	Notification by unitholder to trustee-manager of beneficial interest in voting units in a registered business trust	
Section 137X(4) read with section 137X(1), (2), or (3)	Notification by unitholder to trustee of beneficial interest in voting units in a real estate investment trust	

Made this                      day of    2010.

HENG SWEE KEAT  
*Managing Director,*  
*Monetary Authority of Singapore.*

[CMD-CFD 07/2010; AGC file ref]



SECURITIES AND FUTURES ACT (CAP. 289)  
 SECURITIES AND FUTURES (DISCLOSURE OF  
 INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR DIRECTOR/CHIEF  
 EXECUTIVE OFFICER IN RESPECT OF INTERESTS  
 IN A LISTED ISSUER**  
**(INCLUDING A DIRECTOR/CHIEF EXECUTIVE  
 OFFICER WHO IS ALSO A SUBSTANTIAL  
 SHAREHOLDER/UNITHOLDER)**

FORM

**1**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Director/Chief Executive Officer giving notice of his interest or a change in his interest in a Listed Issuer under sections 133, 137N and 137Y, and/or sections 135, 136, 137, 137J (as applicable to sections 135, 136 and 137), and 137U (as applicable to sections 135, 136 and 137) (where the Director/Chief Executive Officer is also a substantial shareholder/unit holder of the Listed Issuer) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where a Director/Chief Executive Officer is giving notice of his interest or a change in his interest in a related corporation of a Listed Issuer under section 133 of the SFA, such notification must be made using Form 2.
4. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each transaction.
5. All applicable sections must be answered. 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 notification.
6. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
7. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
8. The term “Listed Issuer” as used in this form refers to –
  - (a) a company any or all of the shares in which are listed for quotation on the official list of a securities exchange;
  - (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
9. The term “Registered Holder” as used in this form refers to any person whose name is entered into the Listed Issuer’s register as a holder of a share or unit (as the case may be)

in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer's register as the holder of a share or unit (as the case may be) in the Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.

10. In this form, the terms "book-entry securities", "depositor", "Depository" and "Depository Register" have the same meanings as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
  
2. Type of Listed Issuer:
  - ☐ Corporation
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
  
3. Name of Director/Chief Executive Officer: \_\_\_\_\_
  
4. Is the Director/Chief Executive Officer also a substantial shareholder/unitholder of the Listed Issuer?
  - ☐ Yes
  - ☐ No
  
5. Is the Director/Chief Executive Officer newly appointed and notifying in respect of (i) his existing direct and/or deemed interests in the Listed Issuer; and/or (ii) interests in the Listed Issuer obtained simultaneous to his appointment.
  - ☐ Yes  
(Please proceed to complete Parts I and V(A).)
  - ☐ No
  
6. If the answer to Q5 above is “No”, is the notification in respect of an existing Director’s/Chief Executive Officer’s changes in:
  - ☐ Direct interest only  
(Please proceed to complete Parts II, IV and V(A).)
  - ☐ Deemed interest only  
(Please proceed to complete Parts III, IV and V.)
  - ☐ Direct and Deemed interests  
(Please proceed to complete Parts III, IV and V.)

**Part I – For a new Director/Chief Executive Officer with existing direct and/or deemed interests in securities of the Listed Issuer as at the date of appointment**

1. Date of becoming a Director/Chief Executive Officer of the Listed Issuer:

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2. Total direct and/or deemed interests in securities of the **Listed Issuer**<sup>1</sup>:

<i>Shares/Units</i>	No. of shares/units:	
<i>Rights/Options/Warrants over shares/units</i>	No. of rights/options/warrants:	
	No. of issued shares/units related to the rights/options/warrants:	
	No. of unissued shares/units related to the rights/options/warrants:	
<i>Convertible debentures (conversion price known)</i>	Notional amount of convertible debentures:	
	No. of issued shares/units related to the convertible debentures:	
	No. of unissued shares/units related to the convertible debentures:	
<i>Convertible debentures (conversion price not known)</i>	Notional amount of convertible debentures:	
<i>Contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares/units of the Listed Issuer</i>	Notional amount of contracts:	
	No. of issued shares/units related to the contracts:	
	No. of unissued shares/units related to the contracts:	
<i>Debentures (excluding convertible debentures)</i>	Notional amount of debentures:	
<i>Rights/Options over debentures (excluding convertible debentures)</i>	No. of rights/options:	
	Notional amount of debentures:	

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<sup>1</sup> All fields must be completed. If none, please indicate “0”.

<i>Participatory Interests</i>	Notional amount of participatory interests:	
<i>Others (please specify details)</i>		

**Part II - For a current Director/Chief Executive Officer with a change in his DIRECT interest only**

1. Date of change in interest: \_\_\_\_\_
  
2. Date on which the Director/Chief Executive Officer became aware of the change in interest<sup>2</sup>: \_\_\_\_\_
  
3. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>3</sup>:
  - ☐ Corporate action by the Listed Issuer
  - ☐ Director/Chief Executive Officer was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Others (please specify details): \_\_\_\_\_

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<sup>2</sup> If the date of the Director/Chief Executive Officer becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>3</sup> To be filled in only if the date of change in interest is different from the date the Director/Chief Executive Officer became aware of the change in interest.

**Part III - For a current Director/Chief Executive Officer with changes to his DEEMED interest or BOTH DIRECT AND DEEMED interests**

1. Date of change in interest: \_\_\_\_\_
2. Date on which the Director/Chief Executive Officer became aware of the change in interest<sup>4</sup>: \_\_\_\_\_
3. Explanation (if the date of becoming aware is different from date of change in interest)<sup>5</sup>:
  - ☐ Corporate action by Listed Issuer
  - ☐ Director/Chief Executive Officer became aware only upon the receipt of CDP statement in respect of allotment of rights shares/units
  - ☐ Director/Chief Executive Officer became aware only upon receipt of a notification from Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>6</sup>).

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		

<sup>4</sup> If the date of the Director/Chief Executive Officer becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>5</sup> To be filled in only if the date of change in interest is different from the date the Director/Chief Executive Officer became aware of the change in interest.

<sup>6</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Director's/Chief Executive Officer's deemed interest and the date the Registered Holder(s) notified the Director/Chief Executive Officer. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

10.		
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☐ Others (please specify details): \_\_\_\_\_  
\_\_\_\_\_



**Part IV - Details of the transaction**

1. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

- ☐ Shares/Units
- ☐ Rights/Options/Warrants over issued shares/units
- ☐ Rights/Options/Warrants over unissued shares/units
- ☐ Convertible debentures over issued shares/units (conversion price known)
- ☐ Convertible debentures over issued shares/units (conversion price not known)
- ☐ Convertible debentures over unissued shares/units (conversion price known)
- ☐ Convertible debentures over unissued shares/units (conversion price not known)
- ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of issued shares/units
- ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of unissued shares/units
- ☐ Debentures (excluding convertible debentures)
- ☐ Rights/Options over debentures (excluding convertible debentures)
- ☐ Participatory interests
- ☐ Others (please specify details): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Number of shares, units, rights, options, warrants, or notional amount of debentures, contracts: \_\_\_\_\_

3. Amount of consideration (excluding brokerage and stamp duties): \_\_\_\_\_

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue

- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction

- ☐ Grant of employee share options
- ☐ Exercise of employee share options
- ☐ Acceptance of take-over offer for Listed Issuer
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Corporate action by Listed Issuer (please specify details):

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- ☐ Others (please specify details):

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5. Details of interest in securities held by Director/Chief Executive Officer before and after transaction<sup>7</sup>:

Table 1. Change in respect of shares/units, or rights/warrants/options/convertible debentures (conversion price known) over **issued** shares/units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>8</sup> :			

<sup>7</sup> Please complete the relevant table below. For example, if the change relates to shares of the Listed Issuer, Table 1 should be completed. If the change relates to debentures (conversion price unknown), Table 3 should be completed.

<sup>8</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<i>Immediately after the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>9</sup> :			

Table 2. Change in respect of rights/warrants/options/convertible debentures (conversion price known) over **unissued** shares/units)

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares/units related to the rights/options/warrants/convertible debentures:			
<i>Immediately after the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares/units related to the rights/options/warrants/convertible debentures:			

Table 3. Change in respect of debentures (including convertible debentures where the conversion price is not known)

	Direct Interest	Deemed Interest	Aggregate
Notional amount held immediately before the transaction:			
Notional amount held immediately after the transaction:			

<sup>9</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

Table 4. Change in respect of rights/options over debentures

	Direct Interest	Deemed Interest	Aggregate
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately before the transaction:			
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately after the transaction:			

Table 5. Change in respect of contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares/units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares/units related to the contracts:			
(c) No. of unissued shares/units related to the contracts:			
<i>Immediately after the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares/units related to the contracts:			
(c) No. of unissued shares/units related to the contracts:			

**Additional Information**

If this notification is an amendment of an earlier notification, please state the date on which the notification was **first** made to the Listed Issuer: \_\_\_\_\_

**Part V – Contact Details****(A) Director/Chief Executive Officer**

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals):

☐ NRIC      ☐ FIN No.      ☐ Passport No.

Country of issue of Passport (for foreign individuals): \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No**(B) Registered Holder<sup>10</sup>**

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>11</sup>:☐ NRIC    ☐ FIN No.    ☐ Passport No.    ☐ Corporation Identification or Registration No.\_\_\_\_\_  
\_\_\_\_\_<sup>10</sup> Please complete this section only if the Director/Chief Executive Officer had become aware of the change in interest upon receipt of a notification from the Registered Holder(s) as indicated in Part III (3) above. In a case where the Director/Chief Executive Officer has deemed interest through two or more Registered Holders, please complete the appropriate continuation sheet in respect of each of these Registered Holders.<sup>11</sup> Where the Registered Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>12</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

\_\_\_\_\_

☐ No

\_\_\_\_\_  
Director/Chief Executive Officer  
giving notice

\_\_\_\_\_  
Date of Notification

<sup>12</sup> Where the Registered Holder is an entity, please provide the name of a contact person.

(B) Registered Holder

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Registration or Identification No.<sup>13</sup>: \_\_\_\_\_☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Identification Registration No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>14</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No<sup>#</sup> Please do not attach this continuation sheet if not used.<sup>13</sup> Where the Registered Holder is an entity, please provide the entity's registration or identification number or Unique Entity Number (UEN) if applicable.<sup>14</sup> Where the Registered Holder is an entity, please provide the name of a contact person.

SECURITIES AND FUTURES ACT (CAP. 289)  
 SECURITIES AND FUTURES (DISCLOSURE OF  
 INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR DIRECTOR/CHIEF  
 EXECUTIVE OFFICER IN RESPECT OF INTERESTS  
 IN A RELATED CORPORATION OF A LISTED  
 ISSUER**

FORM

**2**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Director/Chief Executive Officer giving notice of his interest or a change in his interest in a related corporation of a Listed Issuer under section 133 of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where a Director/Chief Executive Officer is giving notice of his interest or a change in his interest in a Listed Issuer under section 133 of the SFA, such notification must be made using Form 1.
4. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each transaction.
5. All applicable sections must be answered. 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 notification.
6. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
7. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
8. The term “Listed Issuer” as used in this form refers to a company any or all of the shares in which are listed for quotation on the official list of a securities exchange.



**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
2. Name of related corporation of the Listed Issuer: \_\_\_\_\_
3. Name of Director/Chief Executive Officer: \_\_\_\_\_
4. Is the Director/Chief Executive Officer newly appointed and notifying in respect of (i) his existing direct and/or deemed interests in the related corporation; and/or (ii) interests in the related corporation obtained simultaneous to his appointment.  
☐ Yes  
*(Please proceed to complete Parts I and III.)*  
☐ No  
*(Please proceed to completes Parts II and III.)*

**Part I – For a new Director/Chief Executive Officer with existing direct and/or deemed interests in securities of a related corporation of the Listed Issuer as at the date of appointment**

1. Date of becoming a Director/Chief Executive Officer of the Listed Issuer:

---

2. Total direct and/or deemed interests in securities of the related corporation<sup>15</sup>:

<i>Shares</i>	No. of shares:	
<i>Rights/Options/Warrants over shares</i>	No. of rights/options/warrants:	
	No. of issued shares related to the rights/options/warrants:	
	No. of unissued shares related to the rights/options/warrants:	
<i>Convertible debentures (conversion price known)</i>	Notional amount of convertible debentures:	
	No. of issued shares related to the convertible debentures:	
	No. of unissued shares related to the convertible debentures:	
<i>Convertible debentures (conversion price not known)</i>	Notional amount of convertible debentures:	
<i>Contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares of the Listed Issuer</i>	Notional amount of contracts:	
	No. of issued shares related to the contracts:	
	No. of unissued shares related to the contracts:	
<i>Debentures (excluding convertible debentures)</i>	Notional amount of debentures:	
<i>Rights/Options over debentures (excluding convertible debentures)</i>	No. of rights/options:	
	Notional amount of debentures:	

---

<sup>15</sup> All fields must be completed. If none, please indicate “0”.

<i>Participatory Interests</i>	Notional amount of participatory interests:	
<i>Others (please specify details)</i>		

**Part II - For a current Director/Chief Executive Officer with a change in his direct and/or deemed interests in the securities of the related corporation of the Listed Issuer**

1. Date of change in interest: \_\_\_\_\_
  
2. Date on which the Director/Chief Executive Officer became aware of the change in interest<sup>16</sup>: \_\_\_\_\_
  
3. Type of securities which are the subject of the transaction (*more than one option can be chosen*):
  - ☐ Shares
  - ☐ Rights/Options/Warrants over issued shares
  - ☐ Rights/Options/Warrants over unissued shares
  - ☐ Convertible debentures over issued shares (conversion price known)
  - ☐ Convertible debentures over issued shares (conversion price not known)
  - ☐ Convertible debentures over unissued shares (conversion price known)
  - ☐ Convertible debentures over unissued shares (conversion price not known)
  - ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of issued shares
  - ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of unissued shares
  - ☐ Debentures (excluding convertible debentures)
  - ☐ Rights/Options over debentures (excluding convertible debentures)
  - ☐ Participatory interests
  - ☐ Others (please specify details): \_\_\_\_\_

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue

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<sup>16</sup> If the date of the Director/Chief Executive Officer becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction

- ☐ Grant of employee share options
- ☐ Exercise of employee share options
- ☐ Acceptance of take-over offer for the related corporation
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Corporate action by the related corporation (please specify details):

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- ☐ Others (please specify details): 

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- 
- 

5. Details of interest in securities held by Director/Chief Executive Officer before and after transaction<sup>17</sup>:

Table 1. Change in respect of shares or rights/warrants/options/convertible debentures (conversion price known) over **issued** shares

	Direct Interest	Deemed Interest	Aggregate
No. of shares held immediately before the transaction:			
No. of shares held immediately after the transaction:			

<sup>17</sup> Please complete the relevant table below. For example, if the change relates to shares of the issuer, Table 1 should be completed. If the change relates to debentures (conversion price unknown), Table 3 should be completed.

Table 2. Change in respect of rights/warrants/options/convertible debentures (conversion price known) over **unissued** shares

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares related to the rights/options/warrants/convertible debentures:			
<i>Immediately after the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares related to the rights/options/warrants/convertible debentures:			

Table 3. Change in respect of debentures (including convertible debentures where the conversion price is not known)

	Direct Interest	Deemed Interest	Aggregate
Notional amount held immediately before the transaction:			
Notional amount held immediately after the transaction:			

Table 4. Change in respect of rights/options over debentures

	Direct Interest	Deemed Interest	Aggregate
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately before the transaction:			
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately after the transaction:			

Table 5. Change in respect of contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares related to the contracts:			
(c) No. of unissued shares related to the contracts:			
<i>Immediately after the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares related to the contracts:			
(c) No. of unissued shares related to the contracts:			

**Part III – Contact Details****(A) Director/Chief Executive Officer**

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals):

☐ NRIC      ☐ FIN No.      ☐ Passport No.

Country of issue of Passport (for foreign individuals): \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No\_\_\_\_\_  
Director/Chief Executive Officer  
giving notice\_\_\_\_\_  
Date of Notification



SECURITIES AND FUTURES ACT (CAP. 289)  
SECURITIES AND FUTURES (DISCLOSURE OF  
INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR SUBSTANTIAL  
SHAREHOLDER(S)/UNITHOLDER(S)**

FORM

**3**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing the notification form.
2. This notification form is for use by Substantial Shareholder(s)/Unitholder(s) giving notice under sections 135, 136, 137, 137J (as applicable to sections 135, 136 and 137) and 137U (as applicable to sections 135, 136 and 137) of the Securities and Futures Act (the “SFA”).
3. Where a Substantial Shareholder/Unitholder is also a director/chief executive officer of the Listed Issuer, notification of his interest or a change in his interest shall be made using Form 1.
4. Where a Substantial Shareholder is giving notice of his shareholding or a change in his shareholding in a listed trustee-manager of a business trust or listed responsible person of a real estate investment trust, notification shall be made using Form 5.
5. Where a Substantial Unitholder is also the trustee-manager of a listed business trust or the responsible person of a listed real estate investment trust, notification of his unitholding or a change in his unitholding shall be made using Form 8.
6. Where a transaction results in notifiable obligations on the part of a Substantial Shareholder/Unitholder who has direct interest in the affected shares/units as well as one or more other Substantial Shareholder(s)/Unitholder(s) who are deemed interested in such shares/units, the two categories of Substantial Shareholders/Unitholders shall provide notifications using separate forms.
7. Only Substantial Shareholders/Unitholders with the same changes in deemed interests in the Listed Issuer may give notice using the same notification form.
8. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
9. All applicable sections must be answered. 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 notification.
10. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
11. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
12. The term “Listed Issuer” as used in this form refers to –
  - (a) a company any or all of the shares in which are listed for quotation on the official list of a securities exchange;

- (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
13. The term “Registered Holder” as used in this form refers to any person whose name is entered into the Listed Issuer’s register as a holder of a share or unit (as the case may be) in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer’s register as the holder of a share or unit (as the case may be) in the Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.
14. In this form, the terms “book-entry securities”, “depositor”, “Depository” and “Depository Register” have the same meanings as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
  
2. Type of Listed Issuer:
  - ☐ Corporation
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
  
3. Is the notification in respect of Substantial Shareholder(s)/Unitholder(s):
  - ☐ Becoming a Substantial Shareholder(s)/Unitholder(s)
  - ☐ Having changed the percentage level of his interest while still remaining a Substantial Shareholder(s)/Unitholder(s)
  - ☐ Ceasing to be a Substantial Shareholder(s)/Unitholder(s)
  
4. Is the notification in respect of changes in:
  - ☐ Direct interest only  
(Please proceed to complete Parts I, IV and V(A).)
  - ☐ Deemed interest only  
(Please proceed to complete Parts II, IV and V.)
  - ☐ Direct and Deemed interests  
(Please proceed to complete Part III, IV and V.)

**Part I – For a Substantial Shareholder/Unitholder with a change in DIRECT interest only**

1. Name of Substantial Shareholder/Unitholder: \_\_\_\_\_
2. Date of change in interest: \_\_\_\_\_
3. Date on which Substantial Shareholder/Unitholder became aware of the change in interest<sup>18</sup>: \_\_\_\_\_
4. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>19</sup>:
  - ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder/Unitholder was not involved
  - ☐ Substantial Shareholder/Unitholder was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Others (please specify details): \_\_\_\_\_

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<sup>18</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>19</sup> To be filled in only if the date of change in interest is different from the date the Substantial Shareholder/Unitholder became aware of the change in interest.

**Part II – For Substantial Shareholder(s)/Unitholder(s) with changes in DEEMED interests only**

1. Name of Substantial Shareholder(s)/Unitholder(s)<sup>20</sup>:

No.	Name of Substantial Shareholder/Unitholder
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

2. Date of change in interest: \_\_\_\_\_

3. Date on which Substantial Shareholder(s)/Unitholder(s) became aware of the change in interest<sup>21</sup>: \_\_\_\_\_

4. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>22</sup>:

- ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder(s)/Unitholder(s) was not involved
- ☐ Substantial Shareholder(s)/Unitholder(s) was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
- ☐ Substantial Shareholder(s)/Unitholder(s) became aware only upon receipt of a notification from the Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>23</sup>).

<sup>20</sup> Where more than one Substantial Shareholder/Unitholder is giving notice, please state the names of each Substantial Shareholder/Unitholder.

<sup>21</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>22</sup> To be filled in only if the date of change in interest is different from the date the Substantial Shareholder(s)/Unitholder(s) became aware of the change in interest.

<sup>23</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Substantial Shareholder's/Unitholder's deemed interest and the date the Registered Holder(s) notified the Substantial Shareholder/Unitholder. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

☐ Others (please specify details): \_\_\_\_\_

\_\_\_\_\_

**Part III – For a Substantial Shareholder/Unitholder with changes in BOTH DIRECT AND DEEMED interests**

1. Name of Substantial Shareholder/Unitholder: \_\_\_\_\_
2. Date of change in interests: \_\_\_\_\_
3. Date on which the Substantial Shareholder/Unitholder became aware of the change in interests<sup>24</sup>: \_\_\_\_\_
4. Explanation (if the date of becoming aware is different from the date of change in interests)<sup>25</sup>:
  - ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder/Unitholder is not involved
  - ☐ Substantial Shareholder/Unitholder was only able to confirm the change in interests upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Substantial Shareholder/Unitholder became aware only upon the receipt of a notification from the Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>26</sup>):

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

<sup>24</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interests is the same as the date of change in interests, please state the date accordingly.

<sup>25</sup> To be filled in only if the date of change in interests is different from the date the Substantial Shareholder/Unitholder became aware of the change in interests.

<sup>26</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Substantial Shareholder's/Unitholder's deemed interest and the date the Registered Holder(s) notified the Substantial Shareholder/Unitholder. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

☐ Others (please specify details): \_\_\_\_\_  
\_\_\_\_\_



#### **Part IV – Details of the transaction**

1. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

- ☐ Shares/units
- ☐ Rights/Options/Warrants over issued shares/units
- ☐ Convertible debentures over issued shares/units (conversion price known)
- ☐ Others (please specify details): \_\_\_\_\_

2. Number of shares, units, rights, options, warrants or notional amount of convertible debentures: \_\_\_\_\_

3. Amount of consideration (excluding brokerage and stamp duties): \_\_\_\_\_

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue
- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Acceptance of take-over offer for the Listed Issuer
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Transfer between holding company and subsidiary

- ☐ Corporate action by the Listed Issuer in respect of which Substantial Shareholder(s)/Unitholder(s) was not involved (please specify details):

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- ☐ Others (please specify details):

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5. Details of shareholdings/unitholdings of Substantial Shareholder(s)/Unitholder(s) before and after the transaction:

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>27</sup> :			
<i>Immediately after the transaction</i>			
No. of shares/units held :			
As a percentage of issued share/unit capital <sup>28</sup> :			

**Additional Information**

If this notification is an amendment of an earlier notification, please state the date on which the notification was **first** made to the Listed Issuer: \_\_\_\_\_

<sup>27</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>28</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

## **Part V – Contact Details**

### **(A) Substantial Shareholder/Unitholder<sup>29</sup>**

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Registration or Identification No.<sup>30</sup>: \_\_\_\_\_

☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>31</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

\_\_\_\_\_

☐ No

<sup>29</sup> In a case where more than one Substantial Shareholder/Unitholder is giving notice, please complete and sign the appropriate continuation sheet in respect of each Substantial Shareholder/Unitholder.

<sup>30</sup> Where the Substantial Shareholder/Unitholder is an entity, please provide the entity's registration or identification number or Unique Entity Number (UEN) if applicable.

<sup>31</sup> Where the Substantial Shareholder/Unitholder is an entity, please provide the name of a contact person.

(B) Registered Holder<sup>32</sup>

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No. (for entities)<sup>33</sup>: \_\_\_\_\_☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Identification or Registration No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>34</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care-off entity (if applicable):

☐ No

<sup>32</sup> Please complete this section only if the Substantial Shareholder(s)/Unitholder(s) became aware of the change in interest upon receipt of a notification from the Registered Holder(s) as indicated in Part II (4) or Part III (4) above. In a case where the Substantial Shareholder(s)/Unitholder(s) has deemed interest through two or more Registered Holders, please complete the appropriate continuation sheet in respect of each of these Registered Holders.

<sup>33</sup> Where the Registered Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.

<sup>34</sup> Where the Registered Holder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Substantial Shareholder/Unitholder  
(where the shareholder/unitholder is an individual) /  
the officer or authorised person representing the  
Substantial Shareholder/Unitholder  
(where the shareholder/unitholder is an entity)

\_\_\_\_\_  
Date of Notification

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

(A) Substantial Shareholder/Unitholder

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>35</sup>: \_\_\_\_\_☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Identification or Registration No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>36</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No<sup>35</sup> Where the Substantial Shareholder/Unitholder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>36</sup> Where the Substantial Shareholder/Unitholder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Substantial Shareholder/Unitholder  
(where the shareholder/unitholder is an individual) /  
the officer or authorised person representing the  
Substantial Shareholder/Unitholder  
(where the shareholder/unitholder is an entity)

\_\_\_\_\_  
Date of Notification

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

<sup>#</sup> Please do not attach this continuation sheet if not used.

(B) Registered Holder

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No<sup>37</sup>:☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Identification or Registration No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>38</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care-off entity (if applicable):

☐ No<sup>#</sup> Please do not attach this continuation sheet if not used.<sup>37</sup> Where the Registered Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>38</sup> Where the Registered Holder is an entity, please provide the name of a contact person.



SECURITIES AND FUTURES ACT (CAP. 289)  
SECURITIES AND FUTURES (DISCLOSURE OF  
INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR REGISTERED HOLDER**

FORM

**4**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Registered Holder giving notice under sections 137B, 137J (as applicable to section 137B) and 137U (as applicable to section 137B) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where the Registered Holder has a notifiable obligation as a substantial shareholder/unitholder, a separate notification to the Listed Issuer shall be made using Form 3.
4. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
5. All applicable sections must be answered. Should there be insufficient space for your answers, please attach annex(es) which shall be identified as such and signed by the signatories to this notification.
6. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
7. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
8. The term “Listed Issuer” as used in this form refers to –
  - (a) a company any or all of the shares in which are listed for quotation on the official list of a securities exchange;
  - (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
9. The term “Registered Holder” as used in this form refers to any person whose name is entered into the Listed Issuer’s register as a holder of a share or unit (as the case may be) in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer’s register as the holder of a share or unit (as the case may be) in the Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.

10. In this form, the terms “book-entry securities”, “depositor”, “Depository” and “Depository Register” have the same meaning as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
2. Type of Listed Issuer:
  - ☐ Corporation
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
3. Name of Registered Holder: \_\_\_\_\_
4. Name of the shareholder(s)/unitholder(s) to whom this notice is given<sup>39</sup>:

No.	Name of Shareholder/Unitholder
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

5. Date of change in interest: \_\_\_\_\_
6. Date on which the Registered Holder became aware of the change in interest<sup>40</sup>:  
\_\_\_\_\_

<sup>39</sup> Please state the name(s) of the shareholder(s)/unitholder(s) and his relationship with the Registered Holder. Where more than one shareholder/unitholder is receiving the notice, please state the names of each shareholder/unitholder.

<sup>40</sup> If the date of the Registered Holder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

7. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>41</sup>:
- ☐ Registered Holder was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Others (please specify details): \_\_\_\_\_
- 
8. Type of securities which are the subject of the transaction (*more than one option can be chosen*):
- ☐ Shares/Units
  - ☐ Rights/Options/Warrants over issued shares/units
  - ☐ Convertible debentures over issued shares/units (conversion price known)
  - ☐ Others (please specify details): \_\_\_\_\_
- 
9. Number of shares, units, rights, options, warrants or notional amount of convertible debentures: \_\_\_\_\_
10. Amount of consideration (excluding brokerage and stamp duties): \_\_\_\_\_
- 
11. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue
- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction

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<sup>41</sup> To be filled in only if the date of change in interest is different from the date the Registered Holder became aware of the change in interest.

- ☐ Acceptance of take-over offer for the Listed Issuer
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Transfer between holding company and subsidiary
- ☐ Others (please specify): \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

12. Details of interest in shares/units held by the Registered Holder before and after the transaction:

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>42</sup> :			
<i>Immediately after the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>43</sup> :			

**Additional Information**

If this notification is an amendment of an earlier notification, please state the date on which the notification was **first** made to the shareholder/unitholder: \_\_\_\_\_

<sup>42</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>43</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

**Contact Details**

Contact Details of Registered Holder:

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>44</sup>:☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>45</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No<sup>44</sup> Where the Registered Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>45</sup> Where the Registered Holder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Registered Holder (where the registered  
holder is an individual) /  
the officer or authorised person representing  
the Registered Holder (where the registered  
holder is an entity)

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

\_\_\_\_\_  
Date of Notification

SECURITIES AND FUTURES ACT (CAP. 289)  
SECURITIES AND FUTURES (DISCLOSURE OF  
INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR SUBSTANTIAL  
SHAREHOLDER(S) OF TRUSTEE-  
MANAGER/RESPONSIBLE PERSON**

FORM

**5***Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by Substantial Shareholder(s) giving notice under sections 137P and 137ZA of the Securities Futures Act (Cap. 289) (the “SFA”).
3. Where the Trustee-Manager/Responsible Person is listed on the securities exchange, the Substantial Shareholder(s) of the Trustee-Manager/Responsible Person shall use Form 3 for notifying the Trustee-Manager/Responsible Person of a change in his interest.
4. Where a transaction results in notifiable obligations on the part of a Substantial Shareholder/Unitholder who has direct interest in the affected shares/units as well as one or more other Substantial Shareholder(s)/Unitholder(s) who are deemed interested in such shares/units, the two categories of Substantial Shareholders/Unitholders shall provide notifications using separate forms.
5. Only Substantial Shareholder(s) with the same changes in deemed interests in the Trustee-Manager/Responsible Person may be identified in the same notification.
6. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
7. All applicable sections must be answered. 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 notification.
8. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
9. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
10. The term “Listed Issuer” as used in this form refers to –
  - (a) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (b) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.



**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_

2. Name of Trustee-Manager/Responsible Person: \_\_\_\_\_

3. Type of Listed Issuer:

☐ Business Trust

☐ Real Estate Investment Trust

4. Name of Substantial Shareholder(s)<sup>46</sup>:

No.	Name of Substantial Shareholder
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

5. Date of change in interest: \_\_\_\_\_

6. Date on which the Substantial Shareholder(s) became aware of the change in interest<sup>47</sup>: \_\_\_\_\_

<sup>46</sup> Where more than one Substantial Shareholder is giving notice, please state the names of each Substantial Shareholder. Only Substantial Shareholders with the same deemed interest changes may give notice using the same form.

<sup>47</sup> If the date of the Substantial Shareholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

7. Explanation (if date of becoming aware is different from the date of change in interest)<sup>48</sup>:

☐ Corporate action by the Trustee-Manager/Responsible Person in respect of which the Substantial Shareholder(s) was not involved

☐ Others (please specify details): \_\_\_\_\_

\_\_\_\_\_

8. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

☐ Shares

☐ Rights/Options/Warrants over issued shares

☐ Convertible debentures over issued shares (conversion price known)

☐ Others (please specify details): \_\_\_\_\_

\_\_\_\_\_

9. Number of shares, rights, options, warrants or notional amount of convertible debentures:

\_\_\_\_\_

10. Amount of consideration (excluding brokerage and stamp duties):

\_\_\_\_\_

11. Circumstance giving rise to the interest or change in interest:

Acquisition of:

☐ Securities via off-market transaction

☐ Securities pursuant to rights issue

☐ Securities via a placement

☐ Securities in connection with a securities lending or prime brokerage transaction

☐ Securities following conversion/exercise of rights, options, warrants or other convertibles

☐ Securities via inheritance

Disposal of:

☐ Securities via off-market transaction

☐ Enforcement of pledged shares as a result of non-payment of loans or other debt obligations

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<sup>48</sup> To be filled in only if the date of change in interest is different from the date the Substantial Shareholder(s) became aware of the change in interest.

- ☐ Transfer between holding company and subsidiary
- ☐ Corporate action by the Trustee-Manager/Responsible Person in respect of which the Substantial Shareholder(s) is not involved (please specify details):

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- ☐ Others (please specify details): \_\_\_\_\_

---



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12. Details of shareholdings of the Substantial Shareholder(s) before and after the transaction:

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares held:			
As a percentage of issued share capital <sup>49</sup> :			
<i>Immediately after the transaction</i>			
No. of shares held:			
As a percentage of issued share capital <sup>50</sup> :			

**Additional Information**

If this notification is an amendment of an earlier notification, please state the date on which the notification was **first** made to the Trustee-Manager/Responsible Person:

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<sup>49</sup> The percentages shall be calculated based on the no. of shares held immediately before the transaction divided by the issued share capital of the Trustee-Manager/Responsible Person immediately before the transaction.

<sup>50</sup> The percentages shall be calculated based on the no. of shares held immediately after the transaction divided by the issued share capital of the Trustee-Manager/Responsible Person immediately after the transaction.

**Contact Details**Contact Details of the Substantial Shareholder<sup>51</sup>:

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>52</sup>:☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>53</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No<sup>51</sup> In a case where more than one Substantial Shareholder is giving notice, please complete and sign the appropriate continuation sheet in respect of each Substantial Shareholder.<sup>52</sup> Where the Substantial Shareholder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>53</sup> Where the Substantial Shareholder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Substantial Shareholder  
(where the shareholder is an individual) /  
the officer or authorised person representing the  
Substantial Shareholder  
(where the shareholder is an entity)

\_\_\_\_\_  
Date of Notification

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

## Contact Details of the Substantial Shareholder:

Name: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No<sup>54</sup>:☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of Contact Person<sup>55</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

\_\_\_\_\_

☐ No<sup>54</sup> Where the Substantial Shareholder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>55</sup> Where the Substantial Shareholder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Substantial Shareholder  
(where the shareholder is an individual) /  
the officer or authorised person representing the  
Substantial Shareholder  
(where the shareholder is an entity)

\_\_\_\_\_  
Date of Notification

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

<sup>#</sup> Please do not attach this continuation sheet if not used.

SECURITIES AND FUTURES ACT (CAP. 289)  
SECURITIES AND FUTURES (DISCLOSURE OF  
INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR LISTED ISSUERS IN  
RESPECT OF NOTIFICATIONS RECEIVED FROM A  
DIRECTOR/CHIEF EXECUTIVE OFFICER**

FORM

**6***Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Listed Issuer giving notice of a Director's/Chief Executive Officer's interest under sections 137G(1)(a), 137R(1)(b)(ii) and 137ZC(1)(b)(ii) of the Securities and Futures Act (Cap. 289) (the "SFA").
3. Where a Listed Issuer is giving notice in respect of a substantial shareholder's/unitholder's interest, such notification shall be made using Form 7.
4. Where a trustee-manager/responsible person is giving notice in respect of a change in his own interest in the Listed Issuer, such notification shall be made using Form 8.
5. Where a trustee-manager/responsible person is giving notice in respect of a substantial shareholder's change in interest in itself, such notification shall be made using Form 9.
6. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
7. All applicable sections must be answered. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such.
8. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
9. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
10. The term "Listed Issuer" as used in this form refers to –
  - (a) a company any or all of the shares in which are listed for quotation on the official list of a securities exchange;
  - (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
11. The term "Registered Holder" as used in this form refers to any person whose name is entered into the Listed Issuer's register as a holder of a share or unit (as the case may be) in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer's register as the holder of a share or unit (as the case may be) in the



Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.

12. In this form, the terms “book-entry securities”, “depositor”, “Depository” and “Depository Register” have the same meanings as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
  
2. Type of Listed Issuer:
  - ☐ Corporation
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
  
3. Date of notice to Listed Issuer: \_\_\_\_\_
  
4. Name of Director/Chief Executive Officer: \_\_\_\_\_
  
5. Is the Director/Chief Executive Officer also a substantial shareholder/unitholder of the Listed Issuer?
  - ☐ Yes
  - ☐ No
  
6. Is the Director/Chief Executive Officer newly appointed and notifying in respect of (i) his existing direct and/or deemed interests in the Listed Issuer; and/or (ii) interests in the Listed Issuer obtained simultaneous to his appointment?
  - ☐ Yes  
(Please proceed to complete Part I.)
  - ☐ No
  
7. If the answer to Q6 above is “No”, is the notification in respect of an existing Director’s/Chief Executive Officer’s changes in:
  - ☐ Direct interest only  
(Please proceed to complete Parts II and IV.)
  - ☐ Deemed interest only  
(Please proceed to complete Parts III and IV.)
  - ☐ Direct and Deemed interests  
(Please proceed to complete Parts III and IV.)

**Part I – For a new Director/Chief Executive Officer with existing direct and/or deemed interests in securities of the Listed Issuer as at the date of appointment**

1. Date of becoming a Director/Chief Executive Officer of the Listed Issuer:

---

2. Total direct and/or deemed interests in the securities of the **Listed Issuer**<sup>56</sup>:

<i>Shares/Units</i>	No. of shares/units:	
	As a percentage of issued share/unit capital:	
<i>Rights/Options/Warrants over shares/units</i>	No. of rights/options/warrants:	
	No. of issued shares/units related to the rights/options/warrants:	
	As a percentage of issued share/unit capital:	
	No. of unissued shares/units related to the rights/options/warrants:	
	As a percentage of issued share/unit capital:	
<i>Convertible debentures (conversion price known)</i>	Notional amount of convertible debentures:	
	No. of issued shares/units related to the convertible debentures:	
	As a percentage of issued share/unit capital:	
	No. of unissued shares/units related to the convertible debentures:	
	As a percentage of issued share/unit capital:	
<i>Convertible debentures (conversion price not known)</i>	Notional amount of convertible debentures:	
<i>Contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares/units of the Listed Issuer</i>	Notional amount of contracts:	
	No. of issued shares/units related to the contracts:	
	As a percentage of issued share/unit capital:	
	No. of unissued shares/units related to the	

---

<sup>56</sup> All the fields must be completed. If none, please indicate “0”.

	contracts:	
	As a percentage of issued share/unit capital:	
<i>Debentures (excluding convertible debentures)</i>	Notional amount of debentures:	
<i>Rights/Options over debentures (excluding convertible debentures)</i>	No. of rights/options:	
	Notional amount of debentures:	
<i>Others (please specify details)</i>		
<i>Market capitalisation of the Listed Issuer as at the date of appointment</i>		

**Part II - For a current Director/Chief Executive Officer with a change in his DIRECT interest**

1. Date of change in interest: \_\_\_\_\_
  
2. Date on which the Director/Chief Executive Officer became aware of his change in interest<sup>57</sup>:  
\_\_\_\_\_
  
3. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>58</sup>:
  - ☐ Corporate action by Listed Issuer
  - ☐ Director/Chief Executive Officer was only able to confirm the change in interest upon receipt of CDP statement in respect of the allotment of rights shares/units
  - ☐ Others (please specify details): \_\_\_\_\_  
\_\_\_\_\_

---

<sup>57</sup> If the date of the Director/Chief Executive Officer becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>58</sup> To be filled in only if the date of change in interest is different from the date the Director/Chief Executive Officer became aware of the change in interest.

**Part III - For a current Director/Chief Executive Officer with changes in his DEEMED interests or BOTH DIRECT AND DEEMED interests**

1. Date of change in interest: \_\_\_\_\_
2. Date on which the Director/Chief Executive Officer became aware of his change in interest<sup>59</sup>: \_\_\_\_\_
3. Explanation (if the date of becoming aware is different from date of change in interest)<sup>60</sup>:
  - ☐ Corporate action by Listed Issuer
  - ☐ Director/Chief Executive Officer was only able to confirm the change in interest upon receipt of CDP statement in respect of the allotment of rights shares/units
  - ☐ Director/Chief Executive Officer became aware only upon receipt of a notification from Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>61</sup>).

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

- ☐ Others (please specify details): \_\_\_\_\_
- \_\_\_\_\_

<sup>59</sup> If the date of the Director/Chief Executive Officer becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>60</sup> To be filled in only if the date of change in interest is different from the date the Director/Chief Executive Officer became aware of the change in interest.

<sup>61</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Director's/Chief Executive Officer's deemed interest and the date the Registered Holder(s) notified the Director/Chief Executive Officer. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

#### **Part IV - Details of the transaction**

1. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

- ☐ Shares/Units
- ☐ Rights/Options/Warrants over issued shares/units
- ☐ Rights/Options/Warrants over unissued shares/units
- ☐ Convertible debentures over issued shares/units (conversion price known)
- ☐ Convertible debentures over issued shares/units (conversion price not known)
- ☐ Convertible debentures over unissued shares/units (conversion price known)
- ☐ Convertible debentures over unissued shares/units (conversion price not known)
- ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of issued shares/units
- ☐ Contracts which Director/Chief Executive Officer has a right to call for or make delivery of unissued shares/units
- ☐ Debentures (excluding convertible debentures)
- ☐ Rights/Options over debentures (excluding convertible debentures)
- ☐ Others (please specify details): \_\_\_\_\_

2. Number of shares, units, rights, options, warrants or notional amount of debentures, contracts:

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3. Amount of consideration (excluding brokerage and stamp duties):

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4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue
- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction

- ☐ Grant of employee share options
- ☐ Exercise of employee share options
- ☐ Acceptance of take-over offer for Listed Issuer
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Corporate action by Listed Issuer (please specify details):

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- ☐ Others (please specify details):
- 
- 

5. Details of interest in securities held by the Director/Chief Executive Officer before and after transaction<sup>62</sup>:

Table 1. Change in respect of shares/units, or rights/warrants/options/convertible debentures (conversion price known) over **issued** shares/units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>63</sup> :			
<i>Immediately after the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>64</sup> :			

<sup>62</sup> Please complete the relevant table below. For example, if the changes relates to shares of the Listed Issuer, Table 1 should be completed. If the changes relates to debentures (conversion price unknown), Table 3 should be completed.

<sup>63</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>64</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.



Table 2. Change in respect of rights/warrants/options/convertible debentures (conversion price known) over **unissued** shares/units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares/units related to the rights/options/warrants/convertible debentures:			
As a percentage of issued share/unit capital <sup>65</sup> :			
<i>Immediately after the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued shares/units related to the rights/options/warrants/convertible debentures:			
As a percentage of issued share/unit capital <sup>66</sup> :			

Table 3. Change in respect of debentures (including convertible debentures where the conversion price is not known)

	Direct Interest	Deemed Interest	Aggregate
Notional amount held immediately before the transaction:			
Notional amount held immediately after the transaction:			
Market capitalisation of the Listed Issuer as at the date of transaction:			

<sup>65</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>66</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

Table 4. Change in respect of rights/options over debentures

	Direct Interest	Deemed Interest	Aggregate
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately before the transaction:			
Notional amount of debentures underlying the rights/options (i.e. assuming exercise or conversion of the rights/options) held immediately after the transaction:			
Market capitalisation of the Listed Issuer as at the date of transaction:			

Table 5. Change in respect of contracts which the Director/Chief Executive Officer has a right to call for or make delivery of shares/units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares/units related to the contracts:			
As a percentage of issued share/unit capital <sup>67</sup> :			
(c) No. of unissued shares/units related to the contracts:			
As a percentage of issued share/unit capital <sup>68</sup> :			
<i>Immediately after the transaction</i>			
(a) Notional amount of contracts held:			
(b) No. of issued shares/units related to the contracts:			
As a percentage of issued share/unit capital <sup>69</sup> :			

<sup>67</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>68</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>69</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

(c) No. of unissued shares/units related to the contracts:			
As a percentage of issued share/unit capital <sup>70</sup> :			
Market capitalisation of the Listed Issuer as at the date of transaction:			

### **Additional Information**

If this notification is an amendment of an earlier notification, state the date on which the notification was **first** made on SGXNET and the announcement number of the notification –

Date of notification: \_\_\_\_\_

Announcement number of notification: \_\_\_\_\_

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<sup>70</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

SECURITIES AND FUTURES ACT (CAP. 289)  
 SECURITIES AND FUTURES (DISCLOSURE OF  
 INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR LISTED ISSUER IN  
 RESPECT OF NOTIFICATIONS RECEIVED FROM  
 SUBSTANTIAL SHAREHOLDER(S)/UNITHOLDER(S)**

FORM

**7**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing the notification form.
2. This notification form is for use by a Listed Issuer giving notice under sections 137G(1)(b), 137R(1)(b)(i) and 137ZC(1)(b)(i) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where the Listed Issuer is giving notice in respect of a Director’s/Chief Executive Officer’s interest, such notification shall be made using Form 6.
4. Where a trustee-manager/responsible person is giving notice in respect of a change in its own interest, such notification shall be made using Form 8.
5. Where a trustee-manager/responsible person is giving notice in respect of a substantial shareholder(s)’ change in interest in itself, such notification shall be made using Form 9.
6. Where a transaction results in notifiable obligations on the part of a Substantial Shareholder/Unitholder who has direct interest in the affected shares/units as well as one or more other Substantial Shareholder(s)/Unitholder(s) who are deemed interested in such shares/units, the two categories of Substantial Shareholders/Unitholders shall provide notifications using separate forms.
7. Only Substantial Shareholders/Unitholders with the same changes in deemed interests in the Listed Issuer may give notice using the same notification form.
8. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
9. All applicable sections must be answered. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such.
10. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
11. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
12. The term “Listed Issuer” as used in this form refers to –
  - (a) a company any or all of the shares in which are listed for quotation on the official list of a securities exchange;
  - (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or

- (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
13. The term “Registered Holder” as used in this form refers to any person whose name is entered into the Listed Issuer’s register as a holder of a share or unit (as the case may be) in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer’s register as the holder of a share or unit (as the case may be) in the Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.
  14. In this form, the terms “book-entry securities”, “depositor”, “Depository” and “Depository Register” have the same meanings as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
  
2. Type of Listed Issuer:
  - ☐ Corporation
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
  
3. Date of notice to Listed Issuer: \_\_\_\_\_
  
4. Is the notification in respect of Substantial Shareholder(s)/Unitholder(s):
  - ☐ Becoming a Substantial Shareholder(s)/Unitholder(s)
  - ☐ Having changed the percentage level of his interest while still remaining a Substantial Shareholder(s)/Unitholder(s)
  - ☐ Ceasing to be a Substantial Shareholder(s)/Unitholder(s)
  
5. Is the notification in respect of changes in:
  - ☐ Direct interest only  
(Please proceed to complete Parts I and IV.)
  - ☐ Deemed interest only  
(Please proceed to complete Parts II and IV.)
  - ☐ Direct and Deemed interests  
(Please proceed to complete Parts III and IV.)

**Part I – For a Substantial Shareholder/Unitholder with a change in DIRECT interest only**

1. Name of Substantial Shareholder/Unitholder: \_\_\_\_\_
2. Date of change in interest: \_\_\_\_\_
3. Date on which the Substantial Shareholder/Unitholder became aware of the change in interest<sup>71</sup>: \_\_\_\_\_
4. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>72</sup>:
  - ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder/Unitholder was not involved
  - ☐ Substantial Shareholder/Unitholder was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Others (please specify details): \_\_\_\_\_

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<sup>71</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>72</sup> To be filled in only if the date of change in interest is different from the date the Substantial Shareholder/Unitholder became aware of the change in interest.

**Part II – For Substantial Shareholder(s)/Unitholder(s) with a change in DEEMED interest only**

1. Name of Substantial Shareholder(s)/Unitholder(s)<sup>73</sup>:

No.	Name of Substantial Shareholder/Unitholder
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

2. Date of change in interest: \_\_\_\_\_

3. Date on which the Substantial Shareholder(s)/Unitholder(s) became aware of the change in interest<sup>74</sup>: \_\_\_\_\_

4. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>75</sup>:

- ☐ Corporate action by the Listed Issuer in respect of which Substantial Shareholder(s)/Unitholder(s) was not involved
- ☐ Substantial Shareholder(s)/Unitholder(s) was only able to confirm the change in interest upon receipt of the CDP statement in respect of the allotment of rights shares/units
- ☐ Substantial Shareholder(s)/Unitholder(s) became aware only upon receipt of a notification from Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>76</sup>).

<sup>73</sup> Where more than one Substantial Shareholder/Unitholder is giving notice, please state the names of each Substantial Shareholder/Unitholder.

<sup>74</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>75</sup> To be filled in only if the date of change in interest is different from the date Substantial Shareholder(s)/Unitholder(s) became aware of the change in interest.

<sup>76</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Substantial Shareholder's/Unitholder's deemed interest and the date the Registered Holder(s) notified the Substantial Shareholder/Unitholder. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.



No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

☐ Others (please specify details): \_\_\_\_\_

\_\_\_\_\_

**Part III – For a Substantial Shareholder/Unitholder with changes in BOTH DIRECT AND DEEMED interests**

1. Name of Substantial Shareholder/Unitholder: \_\_\_\_\_
2. Date of change in interests: \_\_\_\_\_
3. Date on which the Substantial Shareholder/Unitholder became aware of the change in interests<sup>77</sup>: \_\_\_\_\_
4. Explanation (if the date of becoming aware is different from the date of change in interests)<sup>78</sup>:
  - ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder/Unitholder is not involved
  - ☐ Substantial Shareholder/Unitholder was only able to confirm the change in interests upon receipt of the CDP statement in respect of the allotment of rights shares/units
  - ☐ Substantial Shareholder/Unitholder became aware only upon the receipt of a notification from the Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>79</sup>).

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

<sup>77</sup> If the date of the Substantial Shareholder/Unitholder becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>78</sup> To be filled in only if the date of change in interests is different from the date the Substantial Shareholder/Unitholder became aware of the change in interests.

<sup>79</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Substantial Shareholder's/Unitholder's deemed interest and the date the Registered Holder(s) notified the Substantial Shareholder/Unitholder. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

☐ Others (please specify details): \_\_\_\_\_  
\_\_\_\_\_

#### **Part IV – Details of the transaction**

1. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

- ☐ Shares/units
- ☐ Rights/Options/Warrants over issued shares/units
- ☐ Convertible debentures over issued shares/units (conversion price known)
- ☐ Others (please specify details): \_\_\_\_\_

2. Number of shares, units, rights, options, warrants, or notional amount of convertible debentures: \_\_\_\_\_

3. Amount of consideration (excluding brokerage and stamp duties): \_\_\_\_\_

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue
- ☐ Securities via a placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Securities via inheritance

Disposal of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Acceptance of take-over offer for the Listed Issuer
- ☐ Enforcement of pledged shares/units as a result of non-payment of loans or other debt obligations
- ☐ Transfer between holding company and subsidiary

- ☐ Corporate action by the Listed Issuer in respect of which the Substantial Shareholder(s)/Unitholder(s) was not involved (please specify details):

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- ☐ Others (please specify details): \_\_\_\_\_

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5. Details of shareholdings/unitholdings of the Substantial Shareholder(s)/Unitholder(s) before and after the transaction:

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>80</sup> :			
<i>Immediately after the transaction</i>			
No. of shares/units held:			
As a percentage of issued share/unit capital <sup>81</sup> :			

#### **Additional Information**

If this notification is an amendment of an earlier notification, state the date on which the notification was **first** made on SGXNET and the announcement number of the notification –

Date of notification: \_\_\_\_\_

Announcement number of notification: \_\_\_\_\_

<sup>80</sup> The percentages shall be calculated based on the no. of shares/units held immediately before the transaction divided by the issued share/unit capital of the Listed Issuer immediately before the transaction.

<sup>81</sup> The percentages shall be calculated based on the no. of shares/units held immediately after the transaction divided by the issued share/unit capital of the Listed Issuer immediately after the transaction.

SECURITIES AND FUTURES ACT (CAP. 289)  
 SECURITIES AND FUTURES (DISCLOSURE OF  
 INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR TRUSTEE-  
 MANAGER/RESPONSIBLE PERSON IN RESPECT OF  
 CHANGES IN ITS INTEREST IN THE LISTED  
 ISSUER**

FORM

**8**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Trustee-Manager/Responsible Person giving notice under sections 137R(1)(a) and 137ZC(1)(a), and/or sections 137J (as applicable to sections 135, 136 and 137) and 137U (as applicable to sections 135, 136 and 137) (where the Trustee-Manager/Responsible Person is also a substantial unitholder of the Listed Issuer) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
4. All applicable sections must be answered. Should there be insufficient space for your answers, please attach annex(es) which shall be identified as such.
5. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
6. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
7. The term “Listed Issuer” as used in this form refers to –
  - (a) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (b) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.
8. The term “Registered Holder” as used in this form refers to any person whose name is entered into the Listed Issuer’s register as a holder of a unit in the Listed Issuer. For this purpose, where the Depository or its nominee is entered into the Listed Issuer’s register as the a holder of a unit in the Listed Issuer, the Depository or its nominee shall be deemed not to be a Registered Holder and the persons named as the depositors in a Depository Register shall, for such period as the book-entry securities are entered against their names in the Depository Register, be deemed to be the Registered Holders of the amount of book-entry securities entered against their respective names in the Depository Register.
9. In this form, the terms “book-entry securities”, “depositor”, “Depository” and “Depository Register” have the same meanings as in section 130A of the Companies Act (Cap. 50).

**Notification Details:**

1. Name of Business Trust/Real Estate Investment Trust: \_\_\_\_\_
2. Type of Listed Issuer:
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
3. Name of Trustee-Manager/Responsible Person: \_\_\_\_\_
4. Is the Trustee-Manager/Responsible Person also a substantial unitholder of the Listed Issuer:
  - ☐ Yes
  - ☐ No
5. Notification in respect of changes in:
  - ☐ Direct interest only  
*(Please proceed to complete Parts I and III.)*
  - ☐ Deemed interest only  
*(Please proceed to complete Parts II and III.)*
  - ☐ Direct and Deemed interests  
*(Please proceed to complete Parts II and III.)*

**Part I – For a Trustee-Manager/Responsible Person with a change in DIRECT interest only**

1. Date of change in interest: \_\_\_\_\_
  
2. Date on which the Trustee-Manager/Responsible Person became aware of the change in interest<sup>82</sup>: \_\_\_\_\_
  
3. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>83</sup>:
  - ☐ Corporate action by the Listed Issuer
  - ☐ Trustee-Manager/Responsible Person was only able to confirm the change in interest upon receipt of the CDP statement pursuant to the allotment of rights units
  - ☐ Others (please specify details): \_\_\_\_\_

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<sup>82</sup> If the date of the Trustee-Manager/Responsible Person becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>83</sup> To be filled in if the date of change in interest is different from the date the Trustee-Manager/Responsible Person became aware of the change in interest.



**Part II – For a Trustee-Manager/Responsible Person with changes in DEEMED interest or BOTH DIRECT AND DEEMED interests**

1. Date of change in interest: \_\_\_\_\_
2. Date on which the Trustee-Manager/Responsible Person became aware of the change in interest<sup>84</sup>: \_\_\_\_\_
3. Explanation (if the date of becoming aware is different from the date of change in interest)<sup>85</sup>:
  - ☐ Corporate action by the Listed Issuer
  - ☐ Trustee-Manager/Responsible Person was only able to confirm the change in interest upon receipt of the CDP statement pursuant to the allotment of rights units
  - ☐ Trustee-Manager/Responsible Person became aware only upon receipt of a notification from Registered Holder(s) (Please provide details on Registered Holders in the following table<sup>86</sup>).

No.	Name of Registered Holder	Date of notification by the Registered Holder
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

- ☐ Others (please specify details): \_\_\_\_\_
- \_\_\_\_\_

<sup>84</sup> If the date of the Trustee-Manager/Responsible Person becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

<sup>85</sup> To be filled in if the date of change in interest is different from the date the Trustee-Manager/Responsible Person became aware of the change in interest.

<sup>86</sup> Please state the name(s) of the Registered Holder(s) in respect of the transaction giving rise to the change in the Trustee-Manager's/Responsible Person's deemed interest and the date the Registered Holder(s) notified the Trustee-Manager/Responsible Person. Where the Registered Holder has a notifiable interest under the SFA, a separate notification form shall be used.

**Part III- Details of the transaction:**

1. Type of securities which are the subject of the transaction (*more than one option can be chosen*):

- ☐ Units
- ☐ Rights/Options/Warrants over issued units
- ☐ Rights/Options/Warrants over unissued units
- ☐ Convertible debentures over issued units (conversion price known)
- ☐ Convertible debentures over issued units (conversion price not known)
- ☐ Convertible debentures over unissued units (conversion price known)
- ☐ Convertible debentures over unissued units (conversion price not known)
- ☐ Debentures (excluding convertible debentures)
- ☐ Units of debentures (excluding convertible debentures)
- ☐ Others (please specify details): \_\_\_\_\_

2. Number of units, rights, options, warrants, or notional amount of debentures:

\_\_\_\_\_

3. Amount of consideration (excluding brokerage and stamp duties):

\_\_\_\_\_

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- ☐ Securities via on-market transaction
- ☐ Securities via off-market transaction
- ☐ Securities pursuant to rights issue
- ☐ Securities via placement
- ☐ Securities in connection with a securities lending or prime brokerage transaction
- ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
- ☐ Units as part of management, acquisition and/or divestment fees paid by the Listed Issuer

Disposal of:

- ☐ Units via on-market transaction
- ☐ Units via off-market transaction

- ☐ Acceptance of take-over offer for the Listed Issuer
- ☐ Enforcement of pledged units as a result of non-payment of loans or other debt obligations
- ☐ Transfer between holding company and subsidiary
- ☐ Corporate action by the Listed Issuer (please specify details):

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- ☐ Others (please specify details):

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5. Details of interest in securities held by the Trustee-Manager/Responsible Person before and after the transaction<sup>87</sup>:

Table 1. Change in respect of units or rights/warrants/options/convertible debentures (conversion price known) over **issued** units

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of units held:			
As a percentage of issued unit capital <sup>88</sup> :			
<i>Immediately after the transaction</i>			
No. of units held:			
As a percentage of issued share/unit capital <sup>89</sup> :			

<sup>87</sup> Please complete the relevant table below. For example, if the change relates to units of the Listed Issuer, Table 1 shall be completed. If the change relates to debentures (conversion price unknown), Table 3 shall be completed.

<sup>88</sup> The percentages shall be calculated based on the no. of units held immediately before the transaction divided by the issued unit capital of the Listed Issuer immediately before the transaction.

<sup>89</sup> The percentages shall be calculated based on the no. of units held immediately after the transaction divided by the issued unit capital of the Listed Issuer immediately after the transaction.

Table 2. Change in respect of rights/warrants/options/convertible debentures (conversion price known) over **unissued** units)

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued units related to the rights/options/warrants/convertible debentures:			
As a percentage of issued unit capital <sup>90</sup> :			
<i>Immediately after the transaction</i>			
(a) No. of rights/options/warrants held:			
(b) Notional amount of convertible debentures held:			
(c) No. of unissued units related to the rights/options/warrants/convertible debentures:			
As a percentage of issued unit capital <sup>91</sup> :			

Table 3. Change in respect of debentures (including convertible debentures where the conversion price is not known)

	Direct Interest	Deemed Interest	Aggregate
Notional amount held immediately before the transaction:			
Notional amount held immediately after the transaction:			
Market capitalisation of the Listed Issuer as at the date of the transaction:			

<sup>90</sup> The percentages shall be calculated based on the no. of units held immediately before the transaction divided by the issued unit capital of the Listed Issuer immediately before the transaction.

<sup>91</sup> The percentages shall be calculated based on the no. of units held immediately after the transaction divided by the issued unit capital of the Listed Issuer immediately after the transaction.

Table 4. Change in respect of units of debentures

	Direct Interest	Deemed Interest	Aggregate
Notional amount of debentures underlying the units (i.e. assuming exercise or conversion of the units) held immediately before the transaction:			
Notional amount of debentures underlying the units (i.e. assuming exercise or conversion of the units) held immediately after the transaction:			
Market capitalisation of the Listed Issuer as at the date of the transaction:			

**Additional Information**

If this notification is an amendment of an earlier notification, state the date on which the notification was **first** made on SGXNET and the announcement number of the notification –

Date of notification: \_\_\_\_\_

Announcement number of notification: \_\_\_\_\_

SECURITIES AND FUTURES ACT (CAP. 289)  
 SECURITIES AND FUTURES (DISCLOSURE OF  
 INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR TRUSTEE-  
 MANAGER/RESPONSIBLE PERSON IN RESPECT OF  
 NOTIFICATIONS RECEIVED FROM ITS  
 SUBSTANTIAL SHAREHOLDER(S)**

FORM

**9**

*Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by a Trustee-Manager/Responsible Person giving notice under sections 137R(1)(b)(iii) and 137ZC(1)(b)(iii) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. Where the Trustee-Manager/Responsible Person is listed on the securities exchange, notification of a change in interest of its substantial shareholders shall be made using Form 7.
4. Where a transaction results in notifiable obligations on the part of a Substantial Shareholder who has direct interest in the affected shares as well as one or more other Substantial Shareholder(s) who are deemed interested in such shares, the two categories of Substantial Shareholders shall provide notifications using separate forms.
5. Only Substantial Shareholder(s) with the same changes in deemed interests in the Trustee-Manager/Responsible Person may be identified in the same notification.
6. Where more than one transaction resulting in notifiable obligations under the SFA occurs within a day, a separate form shall be used for each such transaction.
7. All applicable sections must be answered. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such.
8. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
9. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
10. The term “Listed Issuer” as used in this form refers to –
  - (a) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (b) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.

**Notification Details:**

1. Name of Listed Issuer: \_\_\_\_\_
2. Name of Trustee-Manager/Responsible Person: \_\_\_\_\_
3. Type of Listed Issuer:
  - ☐ Business Trust
  - ☐ Real Estate Investment Trust
4. Date of notice to Trustee-Manager/Responsible Person: \_\_\_\_\_
5. Name of Substantial Shareholder(s)<sup>92</sup>: \_\_\_\_\_

No.	Name of Substantial Shareholder
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

6. Date of change in interest: \_\_\_\_\_
7. Date on which the Substantial Shareholder(s) became aware of the change in interest<sup>93</sup>: \_\_\_\_\_

<sup>92</sup> Where more than one Substantial Shareholder is giving notice, please state the names of each Substantial Shareholder. Only Substantial Shareholders with the same deemed interest changes may give notice using the same form.

<sup>93</sup> If the date of the Trustee-Manager/Responsible Person becoming aware of the change in interest is the same as the date of change in interest, please state the date accordingly.

8. Explanation (if date of becoming aware is different from the date of change in interest)<sup>94</sup>:
- ☐ Corporate action by the Trustee-Manager/Responsible Person in respect of which the Substantial Shareholder(s) was not involved
  - ☐ Others (please specify details): \_\_\_\_\_
- 
9. Type of securities which are the subject of the transaction (*more than one option can be chosen*):
- ☐ Shares
  - ☐ Rights/Options/Warrants over issued shares
  - ☐ Convertible debentures over issued shares (conversion price known)
  - ☐ Others (please specify details): \_\_\_\_\_
- 
10. Number of shares, rights, options, warrants, or notional amount of convertible debentures:
- 
11. Amount of consideration (excluding brokerage and stamp duties):
- 
12. Circumstance giving rise to the interest or change in interest:
- Acquisition of:
- ☐ Securities via off-market transaction
  - ☐ Securities pursuant to rights issue
  - ☐ Securities via a placement
  - ☐ Securities in connection with a securities lending or prime brokerage transaction
  - ☐ Securities following conversion/exercise of rights, options, warrants or other convertibles
  - ☐ Securities via inheritance
- Disposal of:
- ☐ Securities via off-market transaction
  - ☐ Enforcement of pledged shares as a result of non-payment of loans or other debt obligations

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<sup>94</sup> To be filled in only if the date of change in interest is different from the date the Substantial Shareholder(s) became aware of the change in interest.



- ☐ Transfer between holding company and subsidiary
- ☐ Corporate action by the Trustee-Manager/Responsible Person in respect of which the Substantial Shareholder(s) is not involved (please specify details):

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- ☐ Others (please specify details): \_\_\_\_\_

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13. Details of shareholdings of the Substantial Shareholder(s) before and after the transaction:

	Direct Interest	Deemed Interest	Aggregate
<i>Immediately before the transaction</i>			
No. of shares held:			
As a percentage of issued share capital <sup>95</sup> :			
<i>Immediately after the transaction</i>			
No. of shares held:			
As a percentage of issued share capital <sup>96</sup> :			

**Additional Information**

If this notification is an amendment of an earlier notification, state the date on which the notification was **first** made on SGXNET and the announcement number of the notification –

Date of notification: \_\_\_\_\_

Announcement number of notification: \_\_\_\_\_

<sup>95</sup> The percentages shall be calculated based on the no. of shares held immediately before the transaction divided by the issued share capital of the Trustee-Manager/Responsible Person immediately before the transaction.

<sup>96</sup> The percentages shall be calculated based on the no. of shares held immediately after the transaction divided by the issued share capital of the Trustee-Manager/Responsible Person immediately after the transaction.

SECURITIES AND FUTURES ACT (CAP. 289)  
SECURITIES AND FUTURES (DISCLOSURE OF  
INTERESTS) REGULATIONS 2009  
**NOTIFICATION FORM FOR BENEFICIAL  
INTEREST HOLDER(S)**

FORM

**10***Explanatory Notes*

1. Please read the explanatory notes carefully before completing this notification form.
2. This notification form is for use by Shareholder(s)/Unitholder(s) giving notice of beneficial interests under sections 137F(4) (read with subsection (1), (2) or (3)), 137M(4) (read with subsection (1), (2) or (3)) and 137X(4) (read with subsection (1), (2) or (3)) of the Securities and Futures Act (Cap. 289) (the “SFA”).
3. All applicable sections must be answered. 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 notification.
4. Please tick (✓) only one option from the relevant boxes where appropriate unless stated otherwise.
5. Please furnish the required information to the Listed Issuer within 14 days from the receipt of the notice from the Listed Issuer.
6. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.
7. The term “Listed Issuer” as used in this form refers to –
  - (a) any or all of the shares in which are listed for quotation on the official list of a securities exchange;
  - (b) a corporation (not being a company, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
  - (c) a registered business trust any or all of the units in which are listed for quotation on the official list of a securities exchange; or
  - (d) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed, by way of a primary listing, for quotation on the official list of a securities exchange.

**Part I – Details of interest held by the Shareholder/Unitholder:**

1. Name of Listed Issuer: \_\_\_\_\_
2. Name of Shareholder/Unitholder: \_\_\_\_\_
3. In respect of the shares/units held, please indicate if the Shareholder/Unitholder is a:
  - ☐ Beneficial owner
  - ☐ Trustee
4. If the Shareholder/Unitholder is holding the shares/units as a trustee, please indicate the persons for whom he holds it.

No.	Name of person with beneficial interest in the shares/units (“Beneficial Interest Holder”)
1.	
2.	
3.	
4.	

5. Please indicate the type of securities held and extent of interest.

<i>Shares/units</i>	No. of shares/units:	
<i>Rights/Options/Warrants over issued shares/units</i>	No. of rights/options/warrants:	
	No. of issued shares/units related to the rights/options/warrants:	
<i>Convertible debentures over issued shares/units (conversion price known)</i>	Notional amount of convertible debentures:	
	No. of existing shares/units related to the convertible debentures:	
<i>Others (please specify details)</i>		

6. Please indicate if any of the voting rights in respect of the shares/units held by the Shareholder/Unitholder is the subject of an agreement or arrangement under which another person is entitled to control his exercise of those rights. If any, please provide details of the agreement or arrangement and the parties involved.

☐ No

☐ Yes

[Please specify details: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ ]

## **Part II – Contact Details**

### **(A) Shareholder/Unitholder**

Name of Shareholder/Unitholder: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>97</sup>:

☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of contact person<sup>98</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

☐ No

<sup>97</sup> Where the Shareholder/Unitholder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.

<sup>98</sup> Where the Shareholder/Unitholder is an entity, please provide the name of a contact person.

(B) Beneficial Interest Holder<sup>99</sup>

Name of Beneficial Interest Holder: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>100</sup>: \_\_\_\_\_☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of contact person<sup>101</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

\_\_\_\_\_

☐ No<sup>99</sup> In a case where more than one Beneficial Interest Holder is identified, please complete the appropriate continuation sheet in respect of each Beneficial Interest Holder.<sup>100</sup> Where the Beneficial Interest Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.<sup>101</sup> Where the Beneficial Interest Holder is an entity, please provide the name of a contact person.

\_\_\_\_\_  
Substantial Shareholder/Unitholder (where the  
shareholder/unitholder is an individual)/  
the officer or authorised person representing the  
Substantial Shareholder/Unitholder (where the  
shareholder/unitholder is an entity)

\_\_\_\_\_  
Date of Notification

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

(B) Beneficial Interest Holder

Name of Beneficial Interest Holder: \_\_\_\_\_

NRIC No. / FIN No. or Passport No. (for foreign individuals) / Corporation Identification or Registration No.<sup>102</sup>: \_\_\_\_\_

☐ NRIC ☐ FIN No. ☐ Passport No. ☐ Corporation Registration or Identification No.

Country of issue of Passport (for foreign individuals) / Country of Incorporation or Constitution (for foreign entities): \_\_\_\_\_

Name of contact person<sup>103</sup>: \_\_\_\_\_

Contact Number: \_\_\_\_\_

Contact Email: \_\_\_\_\_

Contact Address\*: ☐ Local address

Block/House No: \_\_\_\_\_

Street Name: \_\_\_\_\_

Floor No.: \_\_\_\_\_ Unit No.: \_\_\_\_\_

Building Name: \_\_\_\_\_

Postal Code: \_\_\_\_\_

☐ Overseas address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Please specify if the contact address is a care of address.

☐ Yes

Please state name of care of entity (if applicable):

\_\_\_\_\_

☐ No

<sup>#</sup> Please do not attach this continuation sheet if not used.

<sup>102</sup> Where the Beneficial Interest Holder is an entity, please provide the entity's identification or registration number or Unique Entity Number (UEN) if applicable.

<sup>103</sup> Where the Beneficial Interest Holder is an entity, please provide the name of a contact person.