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| SECURITIES AND FUTURES ACT  (Cap. 289)    SECURITIES AND FUTURES  (LICENSING AND CONDUCT OF BUSINESS)  REGULATIONS (Rg 10)    **DECLARATION LODGED PURSUANT TO**  **REGULATION 14(4) BY A PERSON EXEMPTED**  **FROM HOLDING A CAPITAL MARKETS SERVICES**  **LICENCE UNDER SECTION 99(1) (a), (b), (c) AND (d)** |  | FORM  **28** |

*Explanatory Notes*

1. Please read the explanatory notes and questions carefully before completing and lodging the notification form (“Form”) with the Monetary Authority of Singapore (“the Authority”).
2. In this Form, “exempt financial institution” refers to a person exempt from holding a capital markets services licence under section 99(1)(a), (b), (c), or (d) of the Securities and Futures Act (Cap. 289) (“the Act”). The terms “accredited investors” and “institutional investors” are defined in section 4A of the Act.
3. All questions must be answered and all fields must be filled. If a question or field is not applicable, please mark “N.A.” in the space provided.
4. This Form should be accompanied by a scanned or pdf copy of the exempt financial institution’s declaration in Section II when submitting this Form electronically. The Declaration must be signed by either the chief executive officer, a director or the corporate secretary of the exempt financial institution.
5. Form 28 should be lodged online via [FormSG](https://form.gov.sg/6360d702b9e6150011f7aa0f). After submission, FIs may view a record of their submission by logging into [[MAS-Tx](https://eservices.mas.gov.sg/mastx/login)](https://eservices.mas.gov.sg/mastx/login).
6. **INFORMATION ON EXEMPT FINANCIAL INSTITUTION**

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| Name of exempt financial institution | Click or tap here to enter text. |
| Principal address where the business operates | Click or tap here to enter text. |
| Telephone number/fax number | Click or tap here to enter text. |
| E-mail address | Click or tap here to enter text. |
| Financial year end | Click or tap here to enter text. |

Please provide details on the breakdown on the existing clientele and list the business unit(s) that has carried on business in each applicable regulated activity.

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| Regulated Activity | | Number of Clients | | | Business Units |
| Institutional Investors or  Accredited Investors | Others | |
| Individuals | Non-  Individuals |
| Dealing in Capital Markets Products | Securities | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Units in a collective investment scheme | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Exchange-traded derivatives contracts | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Over-the-counter derivatives contracts | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Spot foreign exchange contracts for the purposes of leveraged foreign exchange trading | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Advising on Corporate Finance | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Fund Management | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Real Estate Investment Trust Management | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Product Financing | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Providing Credit Rating Services | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| Providing Custodial Services | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Grand Total^** | | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |  |

^ Please take note that a client who is being serviced in more than one regulated activity by the company is to be taken into account only once for the purpose of computing “Grand Total”.

1. **DECLARATION**

**[Attach a scanned or pdf copy of this Declaration when submitting this Form electronically. The Declaration must be signed by either the chief executive officer, a director, the principal officer or the corporate secretary of the exempt financial institution. Electronic signatures may be provided in lieu of physical signatures.]**

I am fully aware that sections 329(1), (3) and (4) of the Act provides as follows:

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| “ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER OR FOR THE PURPOSES OF ANY PROVISION OF THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.  ANY PERSON WHO –   1. SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR 2. LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY,   SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.    ANY PERSON WHO CONTRAVENES SUBSECTION (1) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING $50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.” |

I am fully aware that under section 99(6) of the Act, the Authority may withdraw the exemption granted to any person under section 99 of the Act.

I declare that all information given in this Form, including all supporting documents and attachments, is true and correct.

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| --- | --- | --- |
| Signature | : |  |
| Name | : | Click or tap here to enter text. |
| Designation | : | Choose an item. |
| Date | : | Click or tap to enter a date.(DD/MM/YY) |