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| SECURITIES AND FUTURES ACT 2001  SECURITIES AND FUTURES  (LICENSING AND CONDUCT OF BUSINESS)  REGULATIONS | FORM  33 |
| **ANNUAL DECLARATION LODGED PURSUANT TO PARAGRAPH 3(4)(*c*) AND/OR 3A(4)(*c*) OF THE SECOND SCHEDULE TO THE REGULATIONS BY PERSON EXEMPTED FROM HOLDING CAPITAL MARKETS SERVICES LICENCE TO CARRY ON BUSINESS IN DEALING IN CAPITAL MARKETS PRODUCTS THAT ARE FUTURES CONTRACTS AND/OR OVER-THE-COUNTER DERIVATIVES CONTRACTS UNDER PARAGRAPH 3(1)(*d*) AND/OR 3A(1)(*d*) OF THE SECOND SCHEDULE TO THE REGULATIONS** | |
| Explanatory Notes | |
| 1. All terms used in this Form shall, except where expressly defined in this Form or whether the context otherwise requires, have the same meaning as defined in the Securities and Futures Act (the “Act”) or the Regulations. 2. All questions must be answered and all fields must be filled. If a question is not applicable, please check the “N.A.” box or mark “N.A.” in the space provided. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatories to this notification. 3. Please check the relevant boxes where appropriate. 4. In this Form –    1. “exempt person” refers to a person exempt from holding a capital markets services licence under paragraph 3(1)(*d*) and/or 3A(1)(*d*) of the Second Schedule to the Securities and Futures (Licensing and Conduct of Business) Regulations (the “Regulations”);    2. “key officer”, in relation to an exempt person, means:       1. a director or equivalent person;       2. a chief executive officer or equivalent person; or    3. “controller” refers to a person set out under paragraph 14A(2)(*b*)(iii)(C) of the Regulations 5. This Form should be submitted online via FormSG. Please refer to the “Compliance Toolkit for Approvals, Notifications and Other Regulatory Submissions to MAS (for FIs conducting regulated activities under the SFA other than for fund managers and REIT managers)” (https://www.mas.gov.sg/regulation/guidance/compliance-toolkit-for-approvals-notifications-and-other-regulatory-submissions-to-mas-sfa) for the FormSG submission link. After submission, FIs may view a record of their submission by logging into MAS-Tx[[1]](#footnote-1). | |

SECTION I: PARTICULARS OF THE EXEMPT PERSON

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| **Name** | Click here to enter text. |
| **Financial Year End** | Click here to enter text. |

SECTION II: DECLARATION

**The Declaration must be signed by a director of the exempt person. Electronic signature may be provided in lieu of physical signature.**

I declare that —

(a) The exempt person has

satisfied the requirements prescribed under paragraph 3(1)(*d*) of the Regulations to act as a registered futures broker; or

satisfied the requirements prescribed under paragraph 3A(1)(*d*) of the Regulations to act as a registered over-the-counter derivatives broker; or

satisfied the requirements prescribed under paragraphs 3(1)(*d*) and 3A(1)(*d*) of the Regulations to act as both a registered futures and over-the-counter derivatives broker.

* 1. The exempt person has kept proper records of all documents providing evidence that each of its clients is either an accredited investor, expert investor or institutional investor;
  2. I have read the Guidelines on Fit and Proper Criteria (“the Guidelines”) issued by the Authority and by submitting this form, I am satisfied that the exempt person and all its key officers, and controllers are fit and proper based on the criteria stated in the Guidelines;
  3. The exempt person and all its key officers are 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 if the exempt person contravenes any provision of the Act or any condition or restriction imposed on it under section 99(4); and
  4. I am aware that section 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 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 INFORMATION OR IDENTIFICATION CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURES ASSIGNED TO HIM BY THE AUHORITY,   SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.  ANY PERSON WHO CONTRAVENES SUBSECTION (1) OR (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING $50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH”. |

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| Signature: |  |
| Designation: | Director |
| Name: | Click here to enter text. |
| Date: | Click or tap to enter a date. |
|  | (DD/MM/YYYY) |

1. For general support on MAS-Tx, you may refer to MAS-Tx FAQ page (https://eservices.mas.gov.sg/mastx/faq) or contact helpdesk@mas.gov.sg. [↑](#footnote-ref-1)