

Singapore Diamond Investment Exchange Pte Ltd
SDiX Depository Pte Ltd
Application for Membership -- Broker Member

Explanatory Notes

1. This application form is for applicants who intend to apply for admission as a Broker Member (including a Remote Broker Member¹) of the Singapore Diamond Investment Exchange Ltd (the “**SDiX**” or the “**Exchange**”) and to open accounts with SDiX Depository Pte Ltd (the “**Depository**” or the “**Book Depository**”). Applicants should ensure that they meet the admission criteria prescribed in the Rules of the SDiX and the Depository (the “**Rules**”).
2. If there are any changes in the information furnished in, or otherwise in connection with, this application prior to the approval of this application, the SDiX and the Depository should be notified in writing immediately.
3. This application form is to be signed by (i) (where the applicant is a corporation) two directors; or (ii) (where the applicant is a partnership) two partners of the applicant, and must be accompanied by the relevant documents requested in the various parts of this application.
4. This application should be accompanied by the following: a United States / Singapore dollar cheque, made out to “Singapore Diamond Investment Exchange Pte Ltd” for the non-refundable application fee prescribed by the SDiX and the Depository from time to time, as may be notified to the applicant in connection with this application.

¹ A Remote Broker Member is defined in the Rules as a Broker Member who does not have a physical presence in Singapore and carries on business and operates in a foreign jurisdiction.

I. APPLICATION TO BE A BROKER MEMBER IS HEREBY MADE BY:

_____ (the “Applicant”)
(Full name of applicant)

(Incorporation or business registration number of the Applicant)

We, the Applicant, by a resolution passed by our board of directors (or equivalent body) wish to apply for admission as a Broker Member on the Singapore Diamond Investment Exchange Ltd (the “SDiX” or the “Exchange”), and to open accounts with SDiX Depository Pte Ltd (the “Depository” or the “Book Depository”) subject to and on the terms and conditions of this application, the SDiX Rules, the Depository Rules, and all Guidance Notes and the Trading Manual issued by the SDiX and the Depository each as the same may be amended, modified, supplemented or replaced from time to time (collectively, the “Rules”) and such other terms and conditions governing the trading platform operated by SDiX. Terms not defined in this application shall have the same meaning as in the SDiX Rules. We further undertake to sign and submit such documents, records and/or information as the SDiX and/or the Depository may require from time to time. We understand that SDiX and the Depository will not consider our application if we do not do so.

We agree and acknowledge that on and from the date of signing of this application and until notified otherwise by the SDiX and the Depository:

- (i) SDiX is not and under no circumstances does SDiX hold itself out as a spot commodities broker for purposes of the Commodity Trading Act, Chapter 48A of Singapore (“CTA”);
- (ii) SDiX does not operate and under no circumstances does SDiX hold itself out as operating a futures market for purposes of the Securities and Futures Act, Chapter 289 of Singapore (“SFA”); and
- (iii) the Depository does not operate and under no circumstances does the Depository hold itself out as operating a clearing facility for purposes of the SFA.

We agree and acknowledge that the SDiX and the Depository may in their absolute discretion, approve or reject our application for Membership. We further agree, acknowledge and understand that we shall be notified in writing in the event that our application is approved, and our admission to Membership shall be effective only on the date stipulated in such notice.

Where we are applying for Membership as a Remote Broker Member, we represent, warrant and undertake that we are not operating, or carrying on business, in Singapore, and that we will not do so.

Please enclose the board resolution or similar authorisation documents authorising the submission of this application.

II. INFORMATION ON THE APPLICANT

1. LEGAL FORM (Please select one)

- Company
 Partnership

2. OUR PARTICULARS

Registered / Business Address	
Address of Principal Place of Business (if different)	
Jurisdictions in which Applicant (i) Operates or Has a Presence, (ii) Pays Taxes and (iii) is Tax Resident (please indicate next to each jurisdiction listed, (i), (ii) or (iii) as applicable)	
Country of Incorporation / Registration	Date of Incorporation / Registration
Incorporation Number / Business Registration Number	
GST Registration Number (if applicable)	
Telephone Number	Fax Number
Email Address	

Website

Please enclose a certified true copy of the following documents:

- (a) certificate of incorporation or business registration;*
- (b) (where the applicant is a corporation) memorandum and articles of association; and*
- (c) (where the applicant is a partnership) partnership deed or agreement.*

Please enclose records from an independent company registry or evidence of business registration.

3. OUR FINANCIALS AND CAPITALISATION

- (i) Where the applicant is a Broker Member (but not a Remote Broker Member), please enclose documents to show that the applicant is able to meet the minimum capital and/or financial requirements applicable to it under the SFA or the CTA (as the case may be).
- (ii) Where the applicant is a Remote Broker Member, please enclose statements, in the prescribed forms, on the calculation of the applicant's Net Capital to show that the applicant is able to meet the minimum capital and financial requirements prescribed in the Rules.
- (iii) Please enclose a copy of the most recent 3 years' audited balance-sheets and profit and loss accounts of the applicant and its ultimate parent entity (including consolidated accounts), certified by (i) (where the applicant is a corporation) a director of the applicant; or (ii) (where the applicant is a partnership) a partner or the manager of the applicant, to be a true copy of the most recent audited balance sheet and profit and loss account of the applicant.

4. OUR STATUS

- (i) Licensing Status

Please set out a complete listing of the regulatory licence(s), consent(s), registration(s), approval(s), authorisation(s) or regulated status held by the applicant (collectively "**Licence(s)**"). Please provide a copy of the Licence(s) from the regulator, if applicable.

No	Name of Regulator	Type of Licence Held

Where no Licence(s) are held, please provide a legal opinion that no Licence(s) are required in the jurisdiction of the applicant's jurisdiction to undertake the trading and/or clearing activities contemplated under the Rules.

(ii) Membership in Exchanges / Industry Associations

Please set out a complete listing of the membership(s) (including type(s) of membership) held by the applicant in exchange(s) or industry association(s). Please provide a copy of the membership certificate from the exchange(s) or industry association(s), if applicable.

No	Name of Exchange / Industry Association	Type of Membership Held

5. OUR BUSINESS

- (i) Briefly describe the principal business carried out by the applicant.
- (ii) Typical clientele served by the applicant.
- (iii) State the arrangements which the applicant will put in place to cover any failure by it to account for its related entities', officers', employees' or customers' moneys or investment, or fraud, including:
- (a) the name, description and address of the person who is to make good the liability in the event of such failure or fraud;
 - (b) the terms and conditions upon which such payment is to be made by such person;
 - (c) any circumstances (if any) in which the right to any such payment would be excluded or modified;
 - (d) the limit (if any) on the amount of any such payment and how any such limit is calculated; and
 - (e) any provisions for ensuring that the person whom such payment was intended to benefit would have a right thereto as against the creditors generally.

These arrangements should include any insurance coverage obtained for the applicant's business and operations. Please provide certified true copies of the relevant policies.

- (iv) Highlight potential areas of conflicts of interest and explain in detail how such conflicts will be resolved or mitigated.
- (v) Where the applicant will be trading for its own account, provide details of the source of the assets and funds for the applicant's proprietary trades, as well as details of the due diligence procedures that the applicant will be putting in place to ensure that (i) such assets and funds are not related to any money

laundering or terrorism activities, (ii) such assets and funds are not related to the proceeds of any criminal conduct or drug dealing offence, as defined under the Corruption, Drug Trafficking and Other Serious Crimes (Confiscation of Benefits) Act, Chapter 65A of Singapore (the “**CDSA**”), (iii) such assets and funds are not property related to the facilitation or carrying out of any terrorism financing offence, as defined under the Terrorism (Suppression of Financing) Act, Chapter 325 of Singapore (the “**TSOFA**”), (iv) such assets and funds and any dealings in such assets and funds are not subject to the regulations issued under the United Nations Act, Chapter 339 of Singapore (the “**UN Act**”), and (v) such assets and funds are not related to any tax offences or the proceeds of any tax offences.

- (vi) Provide details of the due diligence procedures that the applicant will be putting in place to ensure that (i) its related entities, officers, employees or customers, the natural persons appointed to act on behalf of the related entity, officers, employees or customers, the connected parties of the related entity, officers (where such officers are not individuals) or customers (where such customers are not individuals) and the beneficial owners of the related entity, officers (where such officers are not individuals) or customers (where such customers are not individuals) are not related to any money laundering or terrorism activities, (ii) the assets and funds of its related entities, officers, employees or customers are not related to the proceeds of any criminal conduct or drug dealing offence, as defined under the CDSA, (iii) the assets and funds of its related entities, officers, employees or customers are not property related to the facilitation or carrying out of any terrorism financing offence, as defined under the TSOFA, (iv) its related entities, officers, employees or customers and any property of its related entities, officers, employees or customers are not subject to the regulations issued under the UN Act, and (v) the assets and funds of its related entities, officers, employees or customers are not related to any tax offences or the proceeds of any tax offences.
- (vii) Where the applicant will be trading for its own account, state whether the applicant has met and will meet all tax obligations² in any and all jurisdictions that the applicant has or may have tax obligations, that are in relation to or in connection with the assets or funds used or to be used in the trades.
- (viii) Where the applicant will be trading for its related entities, officers, employees or customers, provide details of the procedures that the applicant will be putting in place to ensure that its related entities, officers, employees or customers have met and will meet all tax obligations³ in any and all jurisdictions that its related entities, officers, employees or customers have or may have tax obligations, that are in relation to or in connection with the assets or funds of its related entities, officers, employees or customers used or to be used in the trades.

² Tax obligations include any and all tax reporting, filing and/or payment obligations under any applicable tax law, regulation, rule, practice direction or otherwise, and whether of Singapore or elsewhere.

³ Please see footnote 2 above.

**6. OUR DIRECTORS / PARTNERS / CHIEF EXECUTIVE OFFICER /
MANAGER / AUTHORISED SIGNATORY(IES) / KEY EMPLOYEES**

- (i) List all directors / partners of the applicant and provide the details set out below for each director / partner who is an individual. Please provide certified true copies of the identification documents (identification card or passport) as well as evidence of residential address of each director / partner who is an individual. Where a director / partner is an entity, please provide details of the entity (as set out in paragraph 2 of Part II above), as well as details of its directors / partners, chief executive / manager, and shareholders / beneficial owners.

1. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>	2. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)	Aliases (if any)
Designation	Designation
Residential Address	Residential Address
Date of Birth	Date of Birth
Nationality	Nationality
Place of Birth	Place of Birth
Passport / Identification Number	Passport / Identification Number
Place / Country of Issue	Place / Country of Issue
Passport Expiry Date	Passport Expiry Date
Telephone Number	Telephone Number
Email Address	Email Address

3. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)
Designation
Residential Address
Date of Birth
Nationality
Place of Birth
Passport / Identification Number
Place / Country of Issue
Passport Expiry Date
Telephone Number
Email Address

4. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)
Designation
Residential Address
Date of Birth
Nationality
Place of Birth
Passport / Identification Number
Place / Country of Issue
Passport Expiry Date
Telephone Number
Email Address

- (ii) Provide the details set out below for the chief executive officer / manager of the applicant. Please provide certified true copies of the identification documents (identification card or passport) as well as evidence of residential address of the chief executive officer / manager.

1. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>	2. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)	Aliases (if any)
Designation	Designation
Residential Address	Residential Address
Date of Birth	Date of Birth
Nationality	Nationality
Place of Birth	Place of Birth
Passport / Identification Number	Passport / Identification Number
Place / Country of Issue	Place / Country of Issue
Passport Expiry Date	Passport Expiry Date
Telephone Number	Telephone Number
Email Address	Email Address

- (iii) List all authorised signatory(ies) of the applicant and provide the details set out below for each authorised signatory who is an individual. Please provide (i) certified true copies of the identification documents (identification card or passport) as well as evidence of residential address of each authorised signatory, and (ii) the board resolution, power of attorney or other authorisation document authorising the authorised signatory. Where a corporate attorney is appointed, please provide details of the corporate attorney (as set out in paragraph 2 of Part II above), as well as details of its directors / partners, chief executive / manager, shareholders / beneficial owners and the individuals authorised to exercise its powers as attorney.

1. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>	2. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)	Aliases (if any)
Designation	Designation
Residential Address	Residential Address
Date of Birth	Date of Birth
Nationality	Nationality
Place of Birth	Place of Birth
Passport / Identification Number	Passport / Identification Number
Place / Country of Issue	Place / Country of Issue
Passport Expiry Date	Passport Expiry Date
Telephone Number	Telephone Number
Email Address	Email Address

3. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)
Designation
Residential Address
Date of Birth
Nationality
Place of Birth
Passport / Identification Number
Place / Country of Issue
Passport Expiry Date
Telephone Number
Email Address

4. Dr/Mr/Mrs/Ms/Others Full Name <i>(as shown in passport / identification)</i>
Aliases (if any)
Designation
Residential Address
Date of Birth
Nationality
Place of Birth
Passport / Identification Number
Place / Country of Issue
Passport Expiry Date
Telephone Number
Email Address

- (iv) Provide an organization chart showing all directors / partners and key officers / employees of the applicant, and their reporting lines.
- (v) Provide details of key officers / employees (including names, addresses, relevant experience, qualifications, etc.).
- (vi) Provide a summary of key internal control procedures to satisfy the SDiX and the Depository that the applicant will be able to comply on an ongoing basis with the requirements of the SDiX and the Depository as set out in the Rules and that the applicant has adequate means of supervising its employees and representatives.

7. OUR GROUP STRUCTURE

- (i) Provide a group structure chart showing the ownership and control structure of the applicant. Each shareholder / beneficial owner of the applicant should be identified in the chart.
- (ii) Provide details of each shareholder / beneficial owner of the applicant.

Name of shareholder / beneficial owner	Percentage of shareholdings / interests	Date of acquisition (mm/yyyy)

- (iii) Provide the following information on the applicant's immediate, intermediate and ultimate parent entities:
 - (a) name of the parent entity;
 - (b) date and place of incorporation or registration;
 - (c) address, telephone number and fax number of the principal place at which the business of the parent entity is carried on (if the address of the registered office of the parent entity is different from the address of the principal place of business, please also provide the address of the registered office of the parent entity);
 - (d) brief history of the parent entity, including any major acquisitions of, mergers or amalgamations with, other corporations / entities. Include any former name(s) of the applicant and its parent entity;
 - (e) group structure of the parent entity, giving the percentage equity

interests held in the principal operating entities in the group and the country of incorporation / registration / constitution of these entities;

- (f) business activities of the parent entity and principal operating entities, including areas of specialization;
 - (g) list of all the directors / partners / trustees / beneficiaries of the parent entity;
 - (h) list of names and addresses of shareholders / beneficial owners holding 10% or more of the total number of voting shares / equity interests in the parent entity. State the percentage interest of each such shareholder / beneficial owner, grouping together related shareholders / beneficial owners, where possible;
 - (i) if shares of the parent corporation are listed, the name(s) of the exchange(s) on which the shares are listed; and
 - (j) a complete listing of the membership(s) (including the type(s) of membership) in exchanges / industry associations held by the parent entity.
- (iv) Where any shareholder and/or beneficial owner of the applicant is an individual holding 5% or more of the total number of voting shares / equity interests in the applicant, provide the name, residential address, date of birth, nationality, identity card number / passport number, telephone contact number, occupation and information on the executive directorship in any corporation. Please provide certified true copies of the identification documents (identification card or passport) as well as evidence of residential address of each such shareholder / beneficial owner.
- (v) If a person, not being a director, partner, shareholder, equity holder or beneficial owner of the applicant, has the ultimate controlling interest in the applicant, or directly or indirectly exercises, or has the power to exercise, controlling influence over the management and policies of the applicant, provide details of such person including the name, residential address, date of birth, nationality, identity card number / passport number, telephone contact number, occupation and information on the executive directorship in any corporation. Please provide certified true copies of the identification documents (identification card or passport) as well as evidence of residential address of such person.

III. FIT AND PROPER CRITERIA

We, the Applicant, confirm that we and each of our directors / partners / shareholders / beneficial owners / chief executive officer / manager satisfy the Fit and Proper Criteria as set out in the SDiX Rules (and as replicated in the Appendix).

Where the answer to any of the questions in relation to the Fit and Proper Criteria is in the affirmative, we attach supporting documents to provide all relevant information. We understand that we are responsible for providing all relevant information to demonstrate that we and each of our directors / partners / shareholders / beneficial owners / chief executive officer / manager satisfy the Fit and Proper Criteria, and we undertake to provide all such relevant information.

IV. OTHER INFORMATION

Set out any additional information that is relevant or material to this application.

V. DECLARATION

We, _____, (the “**Applicant**”) (name of corporation / partnership) hereby declare that we do not act as a trustee for any trust.

We further declare that all the information given in or attached to this application, and any other information given or to be given, in connection with this application are true and complete.

We acknowledge that if admitted, we may have our membership suspended or terminated and/or we may be dealt with in such manner deemed appropriate under the SDiX Rules in the event that any information or document given in respect of this application is not true or complete.

We undertake to notify the SDiX and the Depository in writing immediately of any changes in the information given to the SDiX and the Depository in connection with this application prior to the approval of this application.

In relation to our proprietary trades, we confirm, on an on-going basis, that we have full legal and beneficial ownership of all the assets and funds which we will be using for our proprietary trades.

In relation to our trades for our related entities, officers, employees or customers, we confirm, on an on-going basis, that our related entities, officers, employees or customers have full legal and beneficial ownership of all their assets and funds which we will be using for the trades.

We consent to the collection, use and disclosure of our personal data by the SDiX and the Depository and/or their related corporations, service providers and agents for all purposes in connection with: (a) assessing our admission and managing our ongoing status as a Member, if admitted; (b) the SDiX and the Depository discharging their obligations under the Rules or any applicable law; (c) the opening, administration and operation of the depository accounts with the Depository or other ancillary purposes (including market research and the marketing of products and services of the SDiX and the Depository or its related corporations to the Members);

and (d) such other purposes set out in the Privacy Policy of the SDiX (collectively, “Permitted Purposes”).

Where we disclose the personal data of third parties to the SDiX and the Depository and/or their related corporations, service providers and agents, we confirm and warrant that we have obtained the prior consent and authorisation of such third parties for or on behalf of the SDiX and the Depository and/or their related corporations, service providers and agents to collect, use and disclose the information contained in this application for all Permitted Purposes.

Such consents and authorisations shall include consents and authorisations for our and/or such third parties’ personal data to be disclosed by the SDiX and the Depository and/or their related corporations, service providers and agents to the following persons and their authorised representatives, for all Permitted Purposes: (a) other Members; (b) other Members’ banks by whom such Members’ bank accounts are maintained for direct crediting; (c) the Depository’s bank by whom the Depository’s bank account is maintained for direct crediting; and (d) such other persons as specified in the Privacy Policy of the SDiX .

We agree to indemnify, defend and hold harmless the SDiX and the Depository and their related corporations, service providers and agents in respect of any penalties, liabilities, claims, demands, losses and damages as a result of our breach of this warranty.

We acknowledge that we have read and agree to the Privacy Policy of the SDiX. Where appropriate, we have referred or will direct the relevant third parties to the Privacy Policy of the SDiX.

Signatory 1:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

Signatory 2:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

VI. UNDERTAKING

We, _____, (the “**Applicant**”) (name of corporation / partnership) undertake to the SDiX and the Depository that upon admission as a Broker Member, we will:

1. comply at all times with the Rules (including the SDiX Rules, the Depository Rules and all Guidance Notes and the Trading Manual issued by the SDiX and/or the Depository) as may be amended from time to time;
2. satisfy at all times the admission criteria and any Approval Conditions imposed by the SDiX and the Depository; and
3. accept as final, binding and conclusive any decision made by the SDiX and/or the Depository made pursuant to the Rules.

Signatory 1:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

Signatory 2:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

VII. DIRECTORS' / PARTNERS' CONFIRMATION

We, the directors / partners of the Applicant, hereby confirm that the information provided in this application constitute full and true disclosure of all material facts about the Applicant and its group, and we, the directors / partners of the Applicant, are not aware of any facts the omission of which would make any statement in this application misleading.

We, the directors / partners of the Applicant, further confirm that during the period from the date of certification of the most recent audited balance-sheet and profit and loss account enclosed with this application to a date not earlier than 14 days before the date of this application:

- (a) the business of the Applicant has, in our opinion, been satisfactorily maintained;
- (b) there has, in our opinion, arisen no circumstances adversely affecting the Applicant's business, operations, trading or the value of its assets;

- (c) the current assets appear in the books at values which are believed to be realizable in the ordinary course of business;
- (d) there are no contingent liabilities by reason of any guarantees given by the Applicant or any of its subsidiaries, or by any other reason; and
- (e) there are, since the previous annual report, no changes in published reserves and no unusual factors affecting the profit of the Applicant and its subsidiaries (where applicable).

For and on behalf of the Board of Directors / Partners

Signatory 1:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

Signatory 2:

Name of Director / Partner: _____

Designation : _____

Signature : _____

Date : _____

FOR INTERNAL USE ONLY
Application received on: Remarks: Cheque No.:

APPENDIX – FIT AND PROPER CRITERIA

The following is extracted from the SDiX Rules. Capitalised terms not defined in this application bear the same meaning as in the SDiX Rules.

- A. The following persons (each a “**Relevant Person**”) are required to meet the fit and proper criteria:
- (a) each Member;
 - (b) the directors / partners / shareholders / beneficial owners / chief executive officer / manager of each Member; and
 - (c) the Registered Persons of each Member
- B. The criteria for considering whether a Relevant Person is fit and proper include but are not limited to the following:
- (a) honesty, integrity and reputation;
 - (b) competence and capability;
 - (c) financial soundness.
- C. With respect to a Member, to establish that it is fit and proper, the Member should satisfy the Exchange and the Book Depository that:
- (a) it and each of its directors, partners, shareholders, beneficial owners, chief executive officer and manager satisfies the fit and proper criteria; and
 - (b) it has in place appropriate recruitment policies, adequate internal control systems and procedures that would reasonably ensure that the persons that it employs, authorises or appoints to act on its behalf as its Registered Persons meet the fit and proper criteria.
- D. Where a Relevant Person fails to meet to meet any one of the criteria set out in paragraph B above, or there is any adverse information about such person (including any adverse information in connection with the questions set out below), it is for the Member to satisfy the Exchange and the Book Depository that such person meets the fit and proper criteria.

Honesty, Integrity and Reputation

1. Within the past 10 years, has the Relevant Person, whether the Relevant Person is an individual or a corporation, (including the corporation’s related corporations),

	Yes	No
(a) been licensed, registered or approved under any law in any jurisdiction which requires licensing, registration or approval in relation to any regulated activity (including the trading of commodities or commodity contracts)?		

(b) been licensed, registered or approved under any law in any jurisdiction which requires licensing or registration in relation to trading commodities or commodity contracts?		
(c) been licensed, registered, or otherwise authorised by law to carry on any trade, business (including sole proprietorships and partnerships) or profession (including, accountancy, engineering, law and architecture) in any jurisdiction?		
(d) been a shareholder of any corporation which holds membership of any class or description of any operator of a market or clearing facility in any jurisdiction?		
(e) carried on business under any name other than the name stated in this application in any jurisdiction?		
(f) been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction?		
(g) been issued a prohibition order under any Act administered by the Monetary Authority of Singapore (the " Authority ") or been prohibited from operating in any jurisdiction by any regulatory authority?		
(h) been censured, disciplined, suspended or refused membership or registration by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?		
(i) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction?		
(j) been the subject of any proceedings of a disciplinary or criminal nature (including any tax offence) or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction?		
(k) been convicted of any offence (including any tax offence), served any term of imprisonment or is being subject to any pending proceedings which may lead to a conviction of any offence (including any tax offence), under any law in any jurisdiction?		
(l) had any civil penalty enforcement action taken against it or him by the Authority or any other		

regulatory authority (including any tax authority) under any law in any jurisdiction?		
(m) contravened or abetted another person in breach of any laws or regulations (including any tax law or regulation), business rules or codes of conduct, whether in Singapore or elsewhere?		
(n) been the subject of any investigations (including any tax-related investigation) or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority (including any tax authority), an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?		
(o) been refused a fidelity or surety bond, whether in Singapore or elsewhere?		
(p) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been censured, disciplined, prosecuted or convicted of a criminal offence (including any tax offence), or been the subject of any disciplinary or criminal investigation or proceeding (including any tax-related investigation or proceeding), whether in Singapore or elsewhere, in relation to any matter that took place while he was a director, partner, substantial shareholder or concerned in the management of the business?		
(q) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been suspended or refused membership or registration by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?		
(r) been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, he was a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere?		

(s) been dismissed or asked to resign from office, employment, a position of trust, or a fiduciary appointment or similar position, whether in Singapore or elsewhere?		
(t) been or is subject to disciplinary proceedings by his current or former employer(s), whether in Singapore or elsewhere?		
(u) been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere?		
(v) been an officer found liable for an offence (including any tax offence) committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Singapore or elsewhere?		

2. Has the Relevant Person, whether the Relevant Person is an individual or a corporation, (including the corporation's related corporations),

	Yes	No
(a) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it or him in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction?		
(b) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?		

Financial Soundness

3. Within the past 10 years, has the Relevant Person, whether the Relevant Person is an individual or a corporation, (including the corporation's related corporations),

	Yes	No
(a) been or is unable to fulfill any of its or his financial obligations, whether in Singapore or elsewhere?		
(b) entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its or his creditors, or made an assignment for the benefit of its or his creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere?		
(c) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere?		

(d) been or is the subject of a bankruptcy petition, whether in Singapore or elsewhere?		
(e) been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere?		
(f) been or is the subject of a winding up petition, whether in Singapore or elsewhere?		
(g) been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere?		
(h) been or is a corporation where a receiver, receiver and manager, judicial manager, or such other person having the powers and duties of a receiver, receiver and manager, or judicial manager, has been appointed in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere?		
(i) been or is subject to any other process outside Singapore that is similar to those referred to in (d)-(h)?		