

Proposed Amendment to CDP Clearing Rule 1.2.1

Rule No.	Current Rule	New Rule
CDP Clearing Rule 1.2.1	<p>Definitions</p> <p>“SGX-ST” means the Singapore Exchange Securities Trading Limited, formerly known as Stock Exchange of Singapore Limited, which has been approved as a stock exchange under the SFA.</p>	<p>Definitions</p> <p>“SGX-ST” means the Singapore Exchange Securities Trading Limited, formerly known as Stock Exchange of Singapore Limited, which has been approved as a stock an approved exchange under the SFA.</p>

Proposed Amendment to CDP Clearing Rule 3.2.3

Rule No.	Current Rule	New Rule
CDP Clearing Rule 3.2.3	<p>Without derogating from Rule 3.2.2, CDP may reject an application for clearing membership if:-</p> <p>(1) the applicant does not provide CDP with information relating to the application as CDP requires;</p> <p>...</p> <p>(14) CDP has reason to believe that the applicant or any of its officers may not perform the functions efficiently, honestly and fairly;</p>	<p>Without derogating from Rule 3.2.2, CDP may reject an application for clearing membership if:-</p> <p>(1) the applicant does not provide CDP with information relating to the application as CDP requires;</p> <p>or</p> <p>(1A) any information or document that is furnished by the applicant to CDP is false or misleading;</p> <p>...</p> <p>(14) CDP has reason to believe that the applicant or any of its officers or employees may not perform the functions efficiently, honestly and fairly;</p>

Proposed Amendment to CDP Clearing Rule 5.9.2

Rule No.	Current Rule	New Rule
CDP Clearing Rule 5.9.2	<p>The Clearing Member shall, within 5 months after the close of the financial year, furnish to CDP the relevant forms which a Clearing Member is required to lodge in the prescribed format under Regulation 27(8) of the SFR (Financial and Margin Requirements), audited accounts of the Clearing Member and its subsidiaries and a Certificate, signed by the auditor appointed by the Clearing Member to carry out an annual financial audit, stating, at a minimum:-</p> <p>(1) whether, in the opinion of the auditor, the Clearing Member has complied with the financial requirements as set out in the Clearing Rules and SFR (Financial and Margin Requirements), and</p> <p>...</p>	<p>The Clearing Member shall, within 5 months after the close of the financial year, furnish to CDP the relevant forms which a Clearing Member is required to lodge in the prescribed format under Regulation 27(89) of the SFR (Financial and Margin Requirements), audited accounts of the Clearing Member and its subsidiaries and a Certificate, signed by the auditor appointed by the Clearing Member to carry out an annual financial audit, stating, at a minimum:-</p> <p>(1) whether, in the opinion of the auditor, the Clearing Member has complied with the financial requirements as set out in the Clearing Rules and SFR (Financial and Margin Requirements), and</p> <p>...</p>

Proposed Amendment to CDP Clearing Rule 11.8.2

Rule No.	Current Rule	New Rule
CDP Clearing Rule 11.8.2	A decision of the Appeals Committee may be appealed to the Authority, whose decision is final and binding.	A decision of the Appeals Committee may be appealed to the Authority, whose decision is final and binding.

Proposed addition to Schedule 1D of CDP Clearing Rule

Schedule	Current Schedule	New Schedule																																																												
Schedule 1D specified in CDP Clearing Rule 5.8.1	<p>Name of the Clearing Member:</p> <p>Statement of Financial Resources, Total Risk Requirement and Aggregate Indebtedness as at: _____ (dd/mm/yy)</p> <p>(I) BASE CAPITAL/NET HEAD OFFICE FUNDS</p> <table> <tr> <td>Paid-up capital</td> <td></td> </tr> <tr> <td> Ordinary Shares</td> <td>_____</td> </tr> <tr> <td> Irredeemable and</td> <td>_____</td> </tr> <tr> <td> Non-Cumulative</td> <td>_____</td> </tr> <tr> <td> Preference Shares</td> <td>_____</td> </tr> <tr> <td>Share Premium</td> <td>_____</td> </tr> <tr> <td>Statutory Reserves</td> <td>_____</td> </tr> <tr> <td>Unappropriated Profit/Loss</td> <td>_____</td> </tr> <tr> <td> Account</td> <td>_____</td> </tr> <tr> <td><i>Less: Interim Losses</i></td> <td>_____</td> </tr> <tr> <td>Base Capital</td> <td>_____</td> </tr> <tr> <td>Net Head Office Current Account</td> <td>_____</td> </tr> <tr> <td>Base Capital/Net Head Office Funds</td> <td>_____</td> </tr> <tr> <td>...</td> <td>_____</td> </tr> </table>	Paid-up capital		Ordinary Shares	_____	Irredeemable and	_____	Non-Cumulative	_____	Preference Shares	_____	Share Premium	_____	Statutory Reserves	_____	Unappropriated Profit/Loss	_____	Account	_____	<i>Less: Interim Losses</i>	_____	Base Capital	_____	Net Head Office Current Account	_____	Base Capital/Net Head Office Funds	_____	...	_____	<p>Name of the Clearing Member:</p> <p>Statement of Financial Resources, Total Risk Requirement and Aggregate Indebtedness as at: _____ (dd/mm/yy)</p> <p>(I) BASE CAPITAL/NET HEAD OFFICE FUNDS</p> <table> <tr> <td>Paid-up capital</td> <td></td> </tr> <tr> <td> Ordinary Shares</td> <td>_____</td> </tr> <tr> <td> Irredeemable and</td> <td>_____</td> </tr> <tr> <td> Non-Cumulative</td> <td>_____</td> </tr> <tr> <td> Preference Shares</td> <td>_____</td> </tr> <tr> <td>Share Premium</td> <td>_____</td> </tr> <tr> <td>Statutory Reserves</td> <td>_____</td> </tr> <tr> <td>Unappropriated Profit/Loss</td> <td>_____</td> </tr> <tr> <td> Account</td> <td>_____</td> </tr> <tr> <td><i>Less:</i></td> <td>_____</td> </tr> <tr> <td>Dividend declared</td> <td>_____</td> </tr> <tr> <td> Interim Losses</td> <td>_____</td> </tr> <tr> <td>Base Capital</td> <td>_____</td> </tr> <tr> <td>Net Head Office Current Account</td> <td>_____</td> </tr> <tr> <td>Base Capital/Net Head Office Funds</td> <td>_____</td> </tr> <tr> <td>...</td> <td>_____</td> </tr> </table>	Paid-up capital		Ordinary Shares	_____	Irredeemable and	_____	Non-Cumulative	_____	Preference Shares	_____	Share Premium	_____	Statutory Reserves	_____	Unappropriated Profit/Loss	_____	Account	_____	<i>Less:</i>	_____	Dividend declared	_____	Interim Losses	_____	Base Capital	_____	Net Head Office Current Account	_____	Base Capital/Net Head Office Funds	_____	...	_____
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