

## Regulatory Notice

3.3.17; 3.3.18; 3.3.26; 3.3.27

### Reporting of Account Identity; Reporting of Open Positions; Computations of Financial and Capital Requirements; Submission of Financial Statements and Other Information to the Exchange;

Issue Date	Cross Reference	Enquiries
26 December 2007	Rule 3.3.17 Rule 3.3.18 Rule 3.3.26 Rule 3.3.27	Please contact :  Risk Management, for Rules 3.3.17 and 3.3.18 Ms Elaine Tang 6236-8142 Ms Cheryl Tan 6236-8161  Member Supervision, for Rule 3.3.26 and 3.3.27 Ms Loke Choy Fun 6236-8925 Ms Leong Kwai Chun 6236-8847

## 1. INTRODUCTION

1.1 This Regulatory Notice sets out the conditions and operational procedures pursuant to Rules 3.3.17, 3.3.18, 3.3.26, and 3.3.27.

## 2. ELECTRONIC REPORTING AND SUBMISSION OF INFORMATION

2.1 A Member is required to submit the following information:

- (a) Rule 3.3.17 : Reporting of Account Identity (BC4A)
- (i) Except for Trading Members that engage solely in House Trades and Proprietary Trades of its Related Corporations, a Member is required to submit to the Exchange, using Form BC4A, details of any new account which is used for trading and/or carrying of trades done on Exchange, other exchanges and over-the-counter.
  - (ii) If the account is a disclosed omnibus account, Form BC4A must be submitted for each sub-account. However, if the account is an undisclosed omnibus account and the sub-accounts are not used for position reporting and trades clearing, Form BC4A is not required for the sub-account(s). Members need not submit Form BC4A to the Exchange for trading accounts which are to be linked to a “Main” BC4A account using the SGX Trade Allocation and Registration (“STAR”) system.

- (iii) If there are any changes to information stated in a BC4A account that has been submitted previously, the Exchange must be notified as soon as is practicable, within the next business day.
- (iv) Members should notify the Exchange, when an account is closed in their system, as soon as is practicable, to prevent unauthorised trading in the account.
- (v) Form BC4A serves as identification for the holder of the account and no single account number should be assigned to more than one customer, even after the account has been closed.
- (vi) The operational procedures and timelines in relation to the submission and procedure for the completion of Form BC4A are set out in **Appendix 1**.
- (vii) Members are required to put in place internal controls to ensure that the Form BC4A has been properly approved by the Chief Executive Officer (“CEO”) or authorised senior executives (e.g. Deputy CEO, General Manager or Operations Manager) before submission. For operational reasons, the submission of Form BC4A may be delegated to senior executives who must be of at least a supervisory grade. Approved staff, including the authorised senior executives, should not be directly involved in trading activities. Members are reminded that the primary responsibility for ensuring the accuracy of the Form BC4A submitted still falls on the CEOs of the respective Member firms.
- (viii) Members are required to ensure all information reported under Form BC4A is complete and accurate as the Exchange relies on these records for its risk management and market surveillance programmes. Due care should be exercised in completing the Form.

(b) Rule 3.3.18 : Reporting of Open Positions (BC3A)

A Member shall record, using Form BC3A, a daily report of Open Positions in all accounts at the end of each Trading Day. The Form BC3A shall be submitted to the Exchange **in accordance with the operational procedures and timelines set out in Appendix 1**. For disclosed Omnibus Accounts, a Member shall report the Open Positions in each sub-account.

(c) Rule 3.3.26 : Computations of Financial and Capital Requirements; and Rule 3.3.27 : Submission of Financial Statements and Other Information to the Exchange

A Member shall submit to the Exchange monthly RBC (Risk Based Capital) financial returns (referring to the items listed under “Financial Returns”, “Supporting Schedules” and “Confirmation” as set out in **Appendix 2**), by the 14<sup>th</sup> calendar day of each month, or such longer period as the Exchange may allow. Requests for extensions of time shall be submitted to the Exchange at least three (3) Business Days prior to the due date for submission of the monthly RBC financial returns.

**2.2 Appendices 2 and 2A set out the details of information which a Member shall submit to the Exchange periodically and the manner in which the information is to be submitted.**

**2.3 The Exchange will inform Members by way of Circular, at least five (5) days before implementation, if there are any changes to the timelines stipulated in Appendices 1, 2 and 2A.**

**2.4 User IDs**

A User ID is issued to a Member to facilitate electronic submission and downloading via the SGX Data Submission System. The User ID is issued only to a director of the Member. The Member shall use the form in **Appendix 3** to inform the Exchange of the name of the director. The form shall be signed by two (2) directors. The director who has been issued with the User ID may authorise other employees of the Member to submit files, provided such authorisation is documented and proper procedures are in place.

A Member shall appoint at least two (2) employees as User ID coordinators who shall liaise with the Exchange on matters relating to User ID and IT security.

A Member shall use the form in **Appendix 3A** to inform the Exchange of the names of the User ID coordinators and its authorised signatories for submission of forms in Appendices 2 and 3. The detailed responsibilities of the authorised signatories and coordinators are set out below:

**(a) AUTHORISED SIGNATORY**

- (i) Review and approve requests for access to SGX Data Submission System.
- (ii) Ensure the timely submission of appropriate requests to the Exchange in the event that the director who is issued with the User ID resigns, transfers or changes his duties/functions.
- (iii) Inform the Exchange to revoke the access (e.g. if staff abuses the access granted to him).

**(b) USER ID COORDINATOR**

- (i) Submit requests for the application or deletion of User IDs on behalf of the Member using Appendix 3.

- (ii) Act as the liaison to the Exchange for any IT security incidents or activities, such as:
  - (A) User ID compromised;
  - (B) User ID account lock-out;
  - (C) IT security violations; and
  - (D) unauthorised changes to critical systems.
- (iii) Assist the Exchange in its Annual IT Security Verification exercise.
- (iv) Update the Exchange on changes pertaining to the following:
  - (A) list of User ID coordinators;
  - (B) list of authorised signatories; and
  - (C) company name or other information.
- (v) Check that all requests in accordance with **Appendix 3** are duly completed and properly authorised before submitting to the Exchange.

### **3. LATE FEES**

- 3.1 Where a Member fails to submit any information, returns or reports required under the above Rules, within the prescribed time, there shall be imposed upon the Member a late fee of an amount to be prescribed by the Exchange from time to time, unless an extension of time has been granted.
- 3.2 Where a Member fails to submit the monthly RBC financial returns within the prescribed time, there shall be imposed upon the Member a late fee for each day that the returns are not submitted in the prescribed time, unless an extension of time has been granted. **The late fee shall be set at an amount which the Exchange may prescribe from time to time.**
- 3.3 A Member shall be required to resubmit any information, returns or reports required under the above Rules and take such other steps as the Exchange may require upon the Exchange's notification that the information, returns or reports are inaccurate or incomplete.

**OPERATIONAL PROCEDURES FOR ELECTRONIC REPORTING AND  
SUBMISSION OF INFORMATION**

**1 RULE 3.3.17: REPORTING OF ACCOUNT IDENTITY (FORM BC4A)**

**1.1 General**

- 1.1.1 A Member shall submit to the Exchange, using Form BC4A, details of any new account, within three (3) Business Days after the account has commenced trading (T + 3). If the account holder is an individual Trading Member or a Trading Representative of a SGX–ST member, who also executes trades on the Markets for his own account, Form BC4A must be submitted by the Member at least one (1) Business Day before it commences trading. This is to ensure accurate processing of clearing fee rebates. This requirement also applies to Trading Members (Individual) and Trading Representatives<sup>1</sup> who are changing their qualifying Clearing Members.
- 1.1.2 If there are any changes to information stated in a BC4A account that has been submitted previously, the Exchange must be notified as soon as is practicable, within the next business day.
- 1.1.3 Members should notify the Exchange when an account is closed in their system as soon as is practicable, to prevent unauthorised trading in the account.
- 1.1.4 A Member is required to submit Form BC4A for each account (including sub-account(s) of a disclosed omnibus account), which is used for trading and/or carrying of trades done on the Exchange, other exchanges and over-the-counter. As Form BC4A serves as identification for the holder of the account, no single account number should be assigned to more than one customer, even when the account has been closed. For Members, all accounts submitted via Form BC4A (i.e. BC4A account) will automatically be created in the SGX Trade Allocation and Registration (“STAR”) system.

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<sup>1</sup> Trading Representatives are dealers’ representatives who are trading for their own account on SGX Quest via the SESOPS Link.

- 1.1.5 If Members create trading accounts **directly** in the STAR system, they are not required to submit Form BC4A, but must ensure that such trading accounts created in the STAR system are linked to valid BC4A accounts.
- 1.1.6 **Any account number used in position reporting must correspond exactly to the account number reported in Form BC4A.**
- 1.1.7 If an account used to register trades in the STAR system is not a BC4A account or trading account, it will be considered an invalid account. Trades belonging to an invalid account will automatically be held in the Member's Holding Account of the same origin in the STAR system. Holding Accounts bear the account numbers "S999C" and "S999H", where "S999" denotes the Member's firm code, "C" denotes customer origin and "H" denotes house origin. Members are **not allowed** to close/delete the Holding Accounts.
- 1.1.8 The Form BC4A must be submitted through the SGX Data Submission Website (<https://esub.sgx.com>), which includes the following features:
- (a) creation of new BC4A account;
  - (b) closure of BC4A account;
  - (c) BC4A account amendment;
  - (d) reinstatement of BC4A account; and
  - (e) deletion of BC4A account.

## **1.2 Detailed Description of submission of Form BC4A**

The descriptions of the fields to be filled in for submission of Form BC4A are set out as follows:

- (a) Firm ID  
A Member is issued a unique ID by SGX for the purpose of electronic submission via the SGX Data Submission System.
- (b) Submission Period  
Date of the submission. (Format: dd/mm/yyyy)
- (c) Name of the Person who prepared the submission  
Full name of the person who prepared the Form BC4A submission.

(d) Action Type

Type of action for submission. Members can select the following options:

- (i) N – New (For creation of new BC4A account)
- (ii) A – Amend (For amendment of existing BC4A account)
- (iii) C – Closed (For closure of existing BC4A account)
- (iv) R – Reopen (For reinstatement of closed BC4A account)
- (v) D – Delete (For deletion of BC4A account)

(e) Account Number

A unique “Account Number” must be assigned to each new account reported in Form BC4A. The account number may be up to 10 alphanumeric characters long. **Only alphabets, numbers, and hyphens are acceptable. (Spaces and other characters will not be accepted).** Please ensure that account numbers reported are in uppercase. Account numbers used must be the same as the account numbers used for trade matching and clearing in the STAR system and position reporting.

(f) Account Name

The account name must be the same as that which is used in the customer’s agreement form signed by the account holder. The full name of the entity/person(s) should be stated as the account name. Any amendment to the account name must be supported by documentary evidence.

(g) Contact Name

The contact person stated should be a representative of the account holder, or the account holder himself.

(h) Address

The address of the account holder should be the same as the address stated in the customer agreement form signed by the account holder. The city and country should be included for foreign addresses.

(i) Telephone

The direct telephone number of the contact person should be provided. If the contact person is not a resident in Singapore, the country code of the location of the contact person should be included.

(j) Fax

The direct facsimile number of the contact person should be provided. If the contact person is not a resident in Singapore, the country code of the location of the contact person should be included.

(k) Principal Business

This field states the type of business the account holder specialises in. The ten (10) different categories are as follows:

- ✓ Banks
- ✓ Funds
- ✓ Securities Firms
- ✓ Insurance Companies
- ✓ Government Firms / Agencies
- ✓ Non – Financial / Agencies
- ✓ Energy / Commodity Firms
- ✓ Individuals
- ✓ Omnibus Accounts
- ✓ Financial
- ✓ Others

(l) Occupation

This field allows users to specify the type of business or occupation the account holder is involved in, where it does not fall within any of the classes of principal businesses provided in the Form BC4A.

(m) Country Name

This field identifies the account holder's country of incorporation, or the country in which the account holder is residing. The following Master Table sets out the Country Code Listing.

<b>Country Master Table</b>			
<b>Code</b>	<b>Description</b>	<b>Code</b>	<b>Description</b>
AUS	AUSTRALIA (GP A)	LIB	LIBERIA
ATR	AUSTRIA (GP A)	LIE	LIECHTENSTEIN
BAM	BAHAMAS	LUX	LUXEMBURG (GP B)
BAH	BAHRAIN	MAL	MALAYSIA EXCEPT LABUAN (GP A)
BAN	BANGLADESH	MAU	MAURITIUS
BEL	BELGIUM (GP A)	MEX	MEXICO
BER	BERMUDA	MON	MONACO
BVI	BRITISH VIRGIN ISLAND	MYN	MYANMAR
BRU	BRUNEI	HOL	NETHERLANDS (GP A)
CAM	CAMBODIA	NEA	NETHERLANDS,ANTILLES



CAN	CANADA (GP A)	NZN	NEW ZEALAND (GP A)
CAY	CAYMAN ISLAND	NOI	NORFOLK ISLAND
CNL	CHANNEL ISLAND	NOR	NORWAY (GP B)
PRC	CHINA (GP B)	OMA	OMAN
DEN	DENMARK	OTH	OTHERS
FIN	FINLAND (GP B)	PHI	PHILIPPINES (GP B)
FRA	FRANCE (GP A)	POR	PORTUGAL (GP B)
GER	GERMANY (GP A)	RUS	RUSSIA
GIB	GIBRALTAR	SAR	SAUDI ARABIA
GRE	GREECE (GP B)	SIN	SINGAPORE
HKG	HONG KONG (GP A)	SLO	SLOVENIA
INA	INDIA (GP B)	SAF	SOUTH AFRICA
IND	INDONESIA (GP B)	SPA	SPAIN (GP A)
IRE	IRELAND (GP B)	SRI	SRI LANKA
IOM	ISLE OF MAN	SWE	SWEDEN (GP A)
ISR	ISRAEL	SWZ	SWITZERLAND (GP A)
ITA	ITALY (GP A)	TAH	TAHITI
IVC	IVORY COAST	ROC	TAIWAN (GP A)
JPN	JAPAN (GP A)	THA	THAILAND (GP A)
NKR	KOREA - NORTH	UAE	UNITED ARAB EMIRATES
SKR	KOREA - SOUTH (GP A)	UK	UNITED KINGDOM (GP A)
KUW	KUWAIT	USA	UNITED STATES OF AMERICA (GP A)
LAT	LATVIA	URU	URUGUAY

(n) Account Category

An account should be reported as a “Main” account unless it is a sub-account of an omnibus account. If the account is a sub-account, then the omnibus account number (which must be the same as the account number previously reported to the Exchange) must be stated. An omnibus account must be reported before the sub-account(s), so that the sub-account(s) can be correctly linked to the omnibus account.

If the account is a disclosed omnibus account, Form BC4A must be submitted for each sub-account. However, if the account is an undisclosed omnibus account and the sub-accounts are not used for position reporting and trades clearing, Form BC4A is not required for the sub-account(s). **Members need not submit Form BC4A to the Exchange for trading accounts which are to be linked to a “Main” BC4A account using the STAR system.**

(o) Omnibus Account No.

When the account is reported as a sub-account, users must provide the omnibus account, which the sub-account is linked to. The omnibus account number should be reported in uppercase.

(p) Origin

A “House” origin account refers to the proprietary account of a Member or the proprietary account of its Related Corporation. It also includes the accounts opened for a director, officer, employee or Registered Representative of the Member.

All other accounts are considered as “Customer” origin accounts.

(q) Nature of Account

A “Proprietary” account is one where the positions carried in the account are for the proprietary trading of the account holder, or the proprietary trading of the account holder’s related corporations.

A “Non-Proprietary” account is one where the positions carried in the account belong to the customers of the account holder.

(r) Type of Account

This field specifies the type of account. Currently, the Exchange has classified the various types of trades into nine (9) categories. The following definition for the account type may be used as a reference:

✓ *Approved Arbitrageur or Options Market – Maker*

Where the account holder is an arbitrageur or options market–maker approved by the Exchange to conduct such business. Long positions are automatically offset against short positions.

✓ *Arbitrage*<sup>2</sup>

Positions in such accounts are maintained for the purposes of arbitraging against other markets. Long positions are not automatically offset against short positions. Instructions must be provided to close out an existing position.

✓ *Arbitrage Open*

Positions in such accounts are maintained for the purposes of arbitraging against other markets. Long positions are not automatically offset against short positions. Instructions must be provided to close out an existing position.

✓ *Error*

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<sup>2</sup> The Exchange may require documentary evidence for accounts which are designated as “hedge”, “arbitrage”, or “omnibus”.

Such account types allow for booking of trades that are executed wrongly. Such an account should have a “zero” balance at the end of the business day.

✓ Hedge<sup>2</sup>

Positions in such accounts are maintained for hedging against cash market or other types of exposures. Long positions are not automatically offset against short positions. Instructions must be provided in order to close out an existing position.

✓ MOS / Execution

Mutual Offset System (“MOS”) account is for booking trades to be transferred to another member on a participating exchange via the mutual offset linkage at the end of the business day. The Execution account is for booking trades that are purely for execution and give-up only.

✓ Omnibus<sup>2</sup>

This account type is used when there are a number of underlying Customers, whose positions are carried in sub-accounts. Long positions are not automatically offset against short positions. Instructions must be provided in order to close out an existing position in any sub-account.

✓ Order – Filling

Order – Filling accounts are used for booking trades executed by local order-fillers, or trades executed by Trading Members (or by Clearing Members themselves) on the instruction of other corporate Members for give-up to those Members, until the trades are given up to the accepting corporate Member. This type of account should have a “zero” balance at the end of each business day as the trades booked are given up to the carrying broker by that time.

✓ Speculative

Such accounts are for taking speculative positions in the market, i.e. where the account holder does not hold concurrent long and short positions. For this type of account, long and short positions are automatically offset against each other.

(s) Ownership

The Exchange has classified the various types of ownership into seven (7) categories. The following descriptions may be used as a reference:

- ✓ *Your Company*  
Where the account holder is the Member itself.
- ✓ *Another SGX Corporate Member*  
Where the account holder is a Clearing Member, Trading Member and Trading Member (Proprietary).
- ✓ *Your Related Corporation*  
Where the account holder is a Related Corporation of the Member.
- ✓ *Non – Related Corporation*  
Where the account holder is a corporation, but is not a Related Corporation of the Member.
- ✓ *Individual Person*  
Where the account holder is an individual. This includes directors, officers, employees and Registered Representatives.
- ✓ *Trading Member (Individual)*  
Where the account holder is a Trading Member (Individual) or a trading representative.

(t) Fee Type

The appropriate clearing fee type for the account should be indicated. The STAR system will automatically use the clearing fee type reported as the fee type for the account number when it is used in the STAR system for trading. For amendment of fee type, Members will not be able to change the fee type through the STAR terminals; it must be done via Form BC4A amendment. The Exchange has classified the various fee types into ten (10) categories. The following descriptions may be used as a reference:

- ✓ 1 – Trading Member (Individual)’s own trades
- ✓ 2 – Clearing Member’s house (or proprietary) account
- ✓ 3 – Trading Member’s house (or proprietary) account
- ✓ 5 – Clearing Member’s Customer account
- ✓ 6 – Trading Member’s Customer account
- ✓ 7 – Trading Member (Proprietary)’s account
- ✓ 8 – Clearing Member’s Related Corporation’s house (or proprietary) account

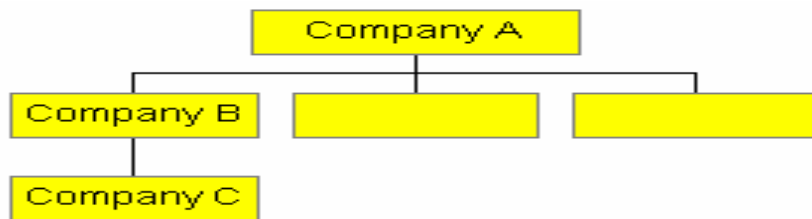
- ✓ E – Trading Representative who is a Registered Representative [RR] / Capital Markets Services’ Representative [MSR] of a Trading Member
- ✓ F – Trading Representative who is not a Registered Representative [RR] / Capital Markets Services’ Representative [MSR] of a Trading Member
- ✓ G - Trading Representative who is a Registered Representative [RR] / Capital Markets Services’ Representative [MSR] of a Clearing Member

(u) Broker Code

Clearing Members are required to provide the broker symbol when the account is opened for a Trading Member (Individual) or a Trading Representative. Otherwise, this item should be left blank.

(v) Ultimate Parent Company of this account holder

If the account holder is a corporation, Members are required to inform the Exchange of the ultimate parent company of the account holder. As an example below, if Company C is the reporting BC4A account, then Company A should be reported as the ultimate parent company.



(w) Is this account used for position reporting?

Indicate Y (Yes) if the account number is used for Position Change Sheet (“PCS”) Reporting or indicate N (No) if this is an omnibus account and the sub accounts are used for PCS reporting. As this field is not applicable for Trading Members, Trading Members should indicate N (No) for all accounts.

(x) Does this account control trading of or have a 10% or more financial interest in any other accounts?

If the account has a 10% or more financial interest and / or controls the trading of other accounts carried with the Member, the account names and account numbers of these accounts must be provided.

- (y) Do any other persons/account owners control trading of or have a 10% or more financial interest in this account?

If other persons / account owners control the trading of or have a 10% or more financial interest in this account, the account names and account numbers of these persons or accounts must be provided.

All BC4A accounts submitted by Clearing Members will automatically be created in the STAR system so as to ensure that there will not be duplicate records in the BC4A database and the STAR system.

### 1.3. Printing and Filing

The XML file enables members to print hardcopies of the Form BC4A for filing, if required.

A sample BC4A form is as follows:

MEMBER COMPANY'S SUBMISSION OF BC4A - Account Identity information			
Firm Id:			
Submission Period:			(dd/mm/yyyy)
Name of the Preparer:			
<b>Action Type:</b>			
Account Number:			(Uppercase)
Account Name:			
Contact Name:			
Address:			
Telephone:			
Fax:			
Principle Business:			
Occupation:			
Country Name:			
Account Category:			
Omnibus Account no.:			(Uppercase)
Origin:			
Nature of Account:			
Type of Account:			
Ownership:			
Fee Type:			
Broker Code:			
Ultimate Parent company of this account holder:			
Is this account used for position reporting?			(Default to 'N' for non-clearing member)

Does this account control trading of or has a 10% or more financial interest in any other accounts?				
Please list the accounts controlled by this account:				
Account Number	Account Name	Action Type	Old Account Number	Old Account Name
Does any other persons/account owners control trading of or have a 10% or more financial interest in this account?				
Please list the accounts that control this account:				
Account Number	Account Name	Action Type	Old Account Number	Old Account Name

**2 RULE 3.3.18: REPORTING OF OPEN POSITIONS (FORM BC3A)**

- 2.1 After the Member has recorded the daily report of Open Positions in all accounts at the end of each Trading Day, it should submit Form BC3A to the Exchange no later than 11:00 a.m. of the following Business Day. For disclosed Omnibus Accounts, a Member shall report the Open Positions in each sub-account.

**3 RULE 3.3.26: COMPUTATIONS OF FINANCIAL AND CAPITAL REQUIREMENTS; AND  
RULE 3.3.27: SUBMISSION OF FINANCIAL STATEMENTS AND OTHER INFORMATION TO THE EXCHANGE**

- 3.1 Where a Member fails to submit the monthly RBC financial returns within the prescribed time, there shall be imposed upon the Member a late fee of \$100 for each day that the returns are not submitted in the prescribed time, unless an extension of time has been granted.



**FINANCIAL STATEMENTS AND OTHER INFORMATION TO BE SUBMITTED BY MEMBERS  
VIA SGX DATA SUBMISSION SYSTEM**

1. Details of information should be submitted via the Exchange's electronic submission system (SGX Data Submission System) in pre-defined Extensible Markup Language ("XML") format. A web interface is provided for the Member to log in and submit the files. The files received are auto-validated for accuracy and the Member will be informed by email whether its submissions have been successfully processed. A Member shall use the form at **Appendix 2A** to indicate the e-mail addresses it wants the messages sent to.
2. A Member shall submit the required information using the Excel templates available on the SGX Data Submission Website. The Excel templates and the accompanying XML formats can be downloaded from this website: <http://esub.sgx.com>. A copy of the user guide on the SGX Data Submission System is available to Members upon request.
3. A Member may develop its own applications to generate files in the XML format specified by the Exchange for submission. A copy of the detailed XML Design document and the XML format is available, upon request.

	Trading Member	Trading Member (Introducing/ Executing Broker)	Trading Member (who is also a Clearing Member of SGX-DC)	Frequency	Timeline
<b>Financial Returns</b>				Monthly	14 <sup>th</sup> of the month
Statement of Assets and Liabilities (Form 1)	✓	✓	✓		
Statement of Financial Resources, Total Risk Requirement and Aggregate Indebtedness (Form 2)	✓	✓ (if separately required under the SGX-ST Rules)	✓		
Statement of Financial Resources and Total Risk Requirement (Form 5)		✓			
Statement of Profit and Loss (Form 6)	✓	✓	✓		

**FINANCIAL STATEMENTS AND OTHER INFORMATION TO BE SUBMITTED BY MEMBERS  
VIA SGX DATA SUBMISSION SYSTEM**

Supporting Schedules* CRR 1 to 7 PRR 1 to 14 LER 1 to 2 URR 1	✓ (Only Applicable Schedules)		✓ (Only Applicable Schedules)		
<b>Confirmation *</b>	✓	✓	✓		
<b>Credit Facilities **</b>			✓	Monthly	10 <sup>th</sup> Business Day of the month.
<b>Reporting of Open Positions (Form BC3A)</b>	✓			Daily	11am on the following Business Day
<b>Reporting of Account Identity (Form BC4A)</b>	✓		✓	Ad Hoc	BC4A to be submitted within three (3) Business Days after a new account has commenced trading. BC4A for Trading Member (Individual) and Trading Representatives shall be submitted at least one (1) Business Day before they commence trading.
<b>Reporting of Large Positions in Non – SGX Contracts (Form BC5A)**</b>			✓	Daily	3.00pm on the following Business Day.

\* in the form prescribed on the website at <http://esub.sgx.com>

\*\* if separately required in accordance with the Clearing Rules.



**LIST OF EMAIL ADDRESSES FOR RECEIVING FEEDBACK  
ON SUBMISSIONS  
(For SGX Data Submission System)**

<u>Type of Submission, where applicable</u>	<u>Email Address</u>
1. RBC financial returns and schedules	_____
2. Daily Trading Turnover *	_____
Ageing of Settlement and Margin	_____
3. Financing *	_____
4. Borrowings and Trading Turnover *	_____
5. Financial Information *	_____
6. Credit Facilities	_____
Reporting of Open Positions (Form	_____
7. BC3A)	_____
Reporting of Account Identity (Form	_____
8. BC4A)	_____
Reporting of Large Positions in Non-	_____
9. SGX Contracts (Form BC5A)	_____

**Name of Member** : \_\_\_\_\_

**Company Stamp** : \_\_\_\_\_

**1st authorised signatory** : \_\_\_\_\_ (Signature)  
 \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Designation)

**2nd authorised signatory** : \_\_\_\_\_ (Signature)  
 \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Designation)

\* only if separately required under Securities Rules.

## FORM ADD/DEL ID



**CREATION/DELETION OF USER ID AND RESET OF PASSWORD  
(For SGX Data Submission System)**

**To** : **Member Supervision**

**Date of request** : \_\_\_\_\_

	<b>Request<sup>1</sup></b>	<b>ID Type<sup>2</sup></b>	<b>User ID</b>	<b>Name</b>	<b>NRIC No.<sup>4</sup></b>	<b>Designation</b>
1	Add / Delete / Reset <sup>3</sup>					
2	Add / Delete / Reset <sup>3</sup>					
3	Add / Delete / Reset <sup>3</sup>					
4	Add / Delete / Reset <sup>3</sup>					

**Name of Member** : \_\_\_\_\_

**Company Stamp** : \_\_\_\_\_

**1st authorised signatory<sup>5</sup>** : \_\_\_\_\_ (Signature)  
 \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Designation)

**2nd authorised signatory<sup>5</sup>** : \_\_\_\_\_ (Signature)  
 \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Designation)

**Notes:-**

- 1 Each Member can only request for one (1) User ID to enable both submission of information and downloading of files. It can request additional IDs to enable only downloading of files.
- 2 Please indicate 'S' for User ID which enables submission and downloading, or 'D' for User ID which enables only downloading of files.
- 3 Please indicate the ID to delete/reset under the User ID column.
- 4 For foreigner, please indicate Passport Number.
- 5 A director cannot be a signatory to his/her own application.



**LIST OF AUTHORISED SIGNATORIES AND USER ID  
COORDINATORS  
(For SGX Data Submission System)**

**FORM AUTH SIGN**

To : Member Supervision

I. MEMBER'S DETAILS					
Name of Member	:				
Company Stamp	:				
II. INSTRUCTIONS					
Effective Date	:				
<b>Add / Delete / Update*</b> List of authorised signatories / User ID coordinators <i>* Delete whichever is inapplicable</i>					
<b>Notes:</b> <ul style="list-style-type: none"> <li><i><b>Signatories</b> shall be directors of the Member.</i></li> <li><i>A director <b>cannot</b> be a signatory to his/her own application for User ID.</i></li> <li><i>At least <b>2 signatories</b> and <b>2 User ID coordinators</b> are required.</i></li> <li><i><b>Cross out</b> any blanks to prevent unauthorised entries.</i></li> <li><i>Form that is not properly completed will be rejected.</i></li> </ul>					
III. LIST OF AUTHORISED SIGNATORIES					
	<u>NAME</u>	<u>NRIC</u>	<u>SIGNATURE</u>	<u>DESIGNATION</u>	<u>EMAIL ADDRESS</u>
1					
2					
3					
IV. LIST OF USER ID COORDINATORS <sup>1</sup>					
	<u>NAME</u>	<u>NRIC</u>	<u>DESIGNATION</u>	<u>TELEPHONE (DID)</u>	<u>EMAIL ADDRESS</u>
1					
2					
3					