



Monetary Authority of Singapore

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**SECURITIES AND FUTURES ACT (CAP. 289)  
PART VII (DISCLOSURE OF INTERESTS)**

**User Guide for Electronic Notification Forms**

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Issued on 12 November 2012

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**SECURITIES AND FUTURES ACT (CAP. 289)  
PART VII (DISCLOSURE OF INTERESTS)**

**User Guide for Electronic Notification Forms**

**1 Purpose**

1.1 This User Guide provides guidance on the completion of electronic notification forms to be used for the purposes of notifying interests or changes in interests under Part VII of the Securities and Futures Act (Cap. 289) (the “SFA”).

1.2 The summary table below provides an overview of the reporting obligations of different types of persons and the corresponding forms to be submitted:

Reporting Person	Notification obligations	Forms to be submitted	Relevant sections of the User Guide
Director/ Chief Executive Officer (“CEO”) [including one who is also a substantial shareholder/unitholder]	Notify Listed Issuer of his interest or changes in interests in the securities of the Listed Issuer, within <u>two business days</u> of: (a) his appointment as a director/CEO; or (b) an acquisition or disposal of, or a change in his interest.	Form 1 & Form C	Section 6 (page 38 to 58) and Section 10 (page 103 to 110)
Director of a listed company incorporated in Singapore (“Listed Company”)	Notify Listed Company of his interest or changes in interests in the securities of a related corporation of the Listed Company, within <u>two business days</u> of: (a) his appointment as a director of the Listed Company; or (b) an acquisition or disposal of, or a change in his interest in the securities of the related corporation.	Form 2	Details are set out in Form 2 which can be downloaded from the Authority’s internet website. Refer to Section 3 (page 9 to 13) for details on how to download the form.

Reporting Person	Notification obligations	Forms to be submitted	Relevant sections of the User Guide
Substantial Shareholder/ Unitholder of the Listed Issuer	<p>Notify Listed Issuer within <u>two business days</u> of him becoming aware:</p> <p>(a) that he is a substantial shareholder/unitholder;</p> <p>(b) of a change in percentage level of his interest in the Listed Issuer (while still remaining as a substantial shareholder/unitholder); or</p> <p>(c) that he has ceased to be a substantial shareholder/unitholder.</p>	Form 3 & Form C	Section 7 (page 59 to 80) and Section 10 (page 103 to 110)
Registered holder of voting shares/units in the Listed Issuer	Notify another person, who has an interest in the voting shares/units held by him, within <u>two business days</u> of the acquisition or disposal of the voting shares/units.	Form 4	Details are set out in Form 4 which can be downloaded from the Authority's internet website. Refer to Section 3 (page 9 to 13) for details on how to download the form.
Shareholder of an unlisted (i) trustee-manager of a listed business trust ("BT"); or (ii) responsible person of a listed real estate investment trust <sup>1</sup> ("REIT")	Notify trustee-manager/responsible person within <u>two business days</u> of becoming aware of his interest in the trustee-manager/responsible person reaching, crossing or falling below 15%, 30%, 50% or 75%.	Form 5 & Form C	Section 8 (page 81 to 89) and Section 10 (page 103 to 110)
Trustee-manager of a listed BT/responsible person	Announce its acquisition or disposal of interests in securities of the listed BT/REIT via SGXNet	Form 6, 7 & Form C	Section 9 (page 90 to 102) and Section 10 (page

<sup>1</sup> Refer to Section 2 of this User Guide for a definition of a real estate investment trust.

Reporting Person	Notification obligations	Forms to be submitted	Relevant sections of the User Guide
of a listed REIT [including one who is also a substantial unitholder]	announcement (i.e. Form 7) within <u>one business day</u> .		103 to 110)
Listed Issuer <sup>2</sup>	Disseminate completed Forms 1, 3 or 5 and C via SGXNet announcement (i.e. Form 7), within <u>one business day</u> of the receipt of the Forms.	Form 7 & Form C	Section 10 (page 103 to 110)

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<sup>2</sup> Where the Listed Issuer is a -

- (a) BT, the reference to the Listed Issuer means the trustee-manager of the listed BT;
- (b) REIT, the reference to the Listed Issuer means the responsible person of the listed REIT.

## 2 Definitions

### 2.1 In this User Guide:

- (a) “Forms 1, 3, 5, 6 or C” refers an electronic notification form for a person to give notice under the SFA, as set out below:

<b>Form</b>	<b>Person</b>	<b>Section in the SFA</b>
Form 1	Director/CEO [including one who is also a substantial shareholder/ unitholder]	133, 137N or 137Y
Form 3	Substantial shareholder/unitholder	135, 136 and 137, 137J (as applicable to sections 135, 136 and 137) or 137U (as applicable to sections 135, 136 and 137)
Form 5	Shareholder of an unlisted trustee-manager or responsible person	137P or 137ZA
Form 6	Trustee-manager or responsible person [including one who is also a substantial unitholder]	137R(1)(a) or 137ZC(1)(a)
Form C	Person giving notice to provide particulars and contact details	-

- (b) “Form 2” refers to a non-electronic notification form for a Director of a Listed Company to give notice on his interest or changes in interests in the securities of a related corporation of the Listed Company under section 133 of the SFA.
- (c) “Form 4” refers to a non-electronic notification form for a registered holder to give notice to another person, who has an interest in the voting shares/units held by the registered holder, under sections 137B, 137J (as applicable to section 137B) or 137U (as applicable to section 137B) of the SFA.
- (d) “Form 7” refers to the SGXNet Announcement Template – Disclosure of Interest/Changes in Interest;
- (e) “Listed Issuer” refers to –
- (i) a company incorporated in Singapore any or all of the shares in which are listed for quotation on the official list of a securities exchange;

- (ii) a corporation (not being a company incorporated in Singapore, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;
- (iii) a registered BT any or all of the units in which are listed for quotation on the official list of a securities exchange;
- (iv) a recognised BT any or all of the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing; or
- (v) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Monetary Authority of Singapore (the “Authority”) in the Code on Collective Investment Schemes, and any or all the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing (“real estate investment trust”).



### 3 Getting Started

3.1 Forms C, 1, 3, 5 and 6 are available for download at the Authority's Internet website at <http://www.mas.gov.sg>.

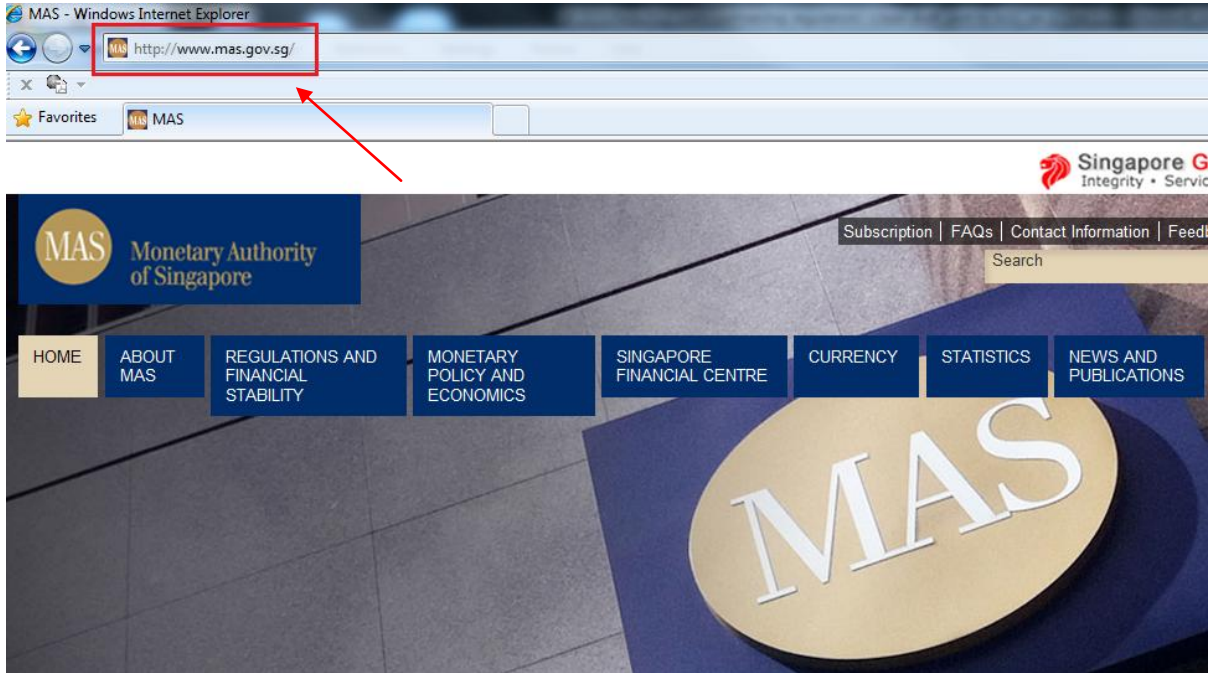


Figure 3.1 – Authority's Internet website

3.2 Select "Regulations and Financial Stability".

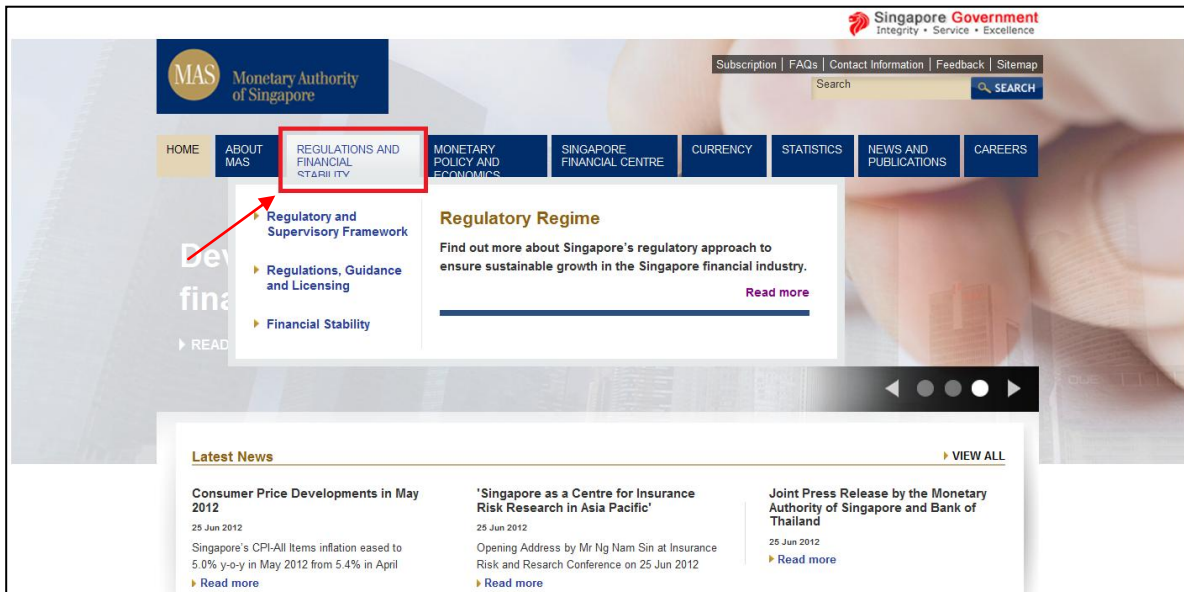


Figure 3.2

3.3 Select “Regulations, Guidance and Licensing”.

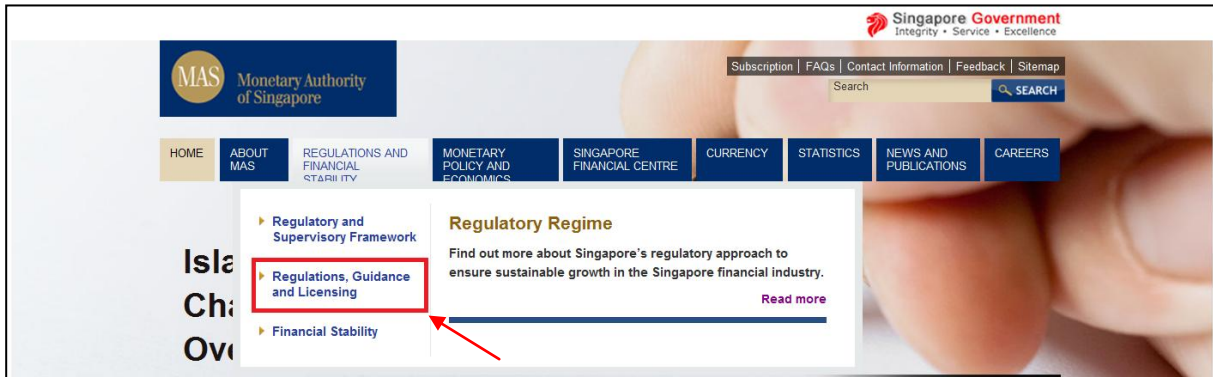


Figure 3.3

3.4 Select “Securities, Futures and Fund Management”.

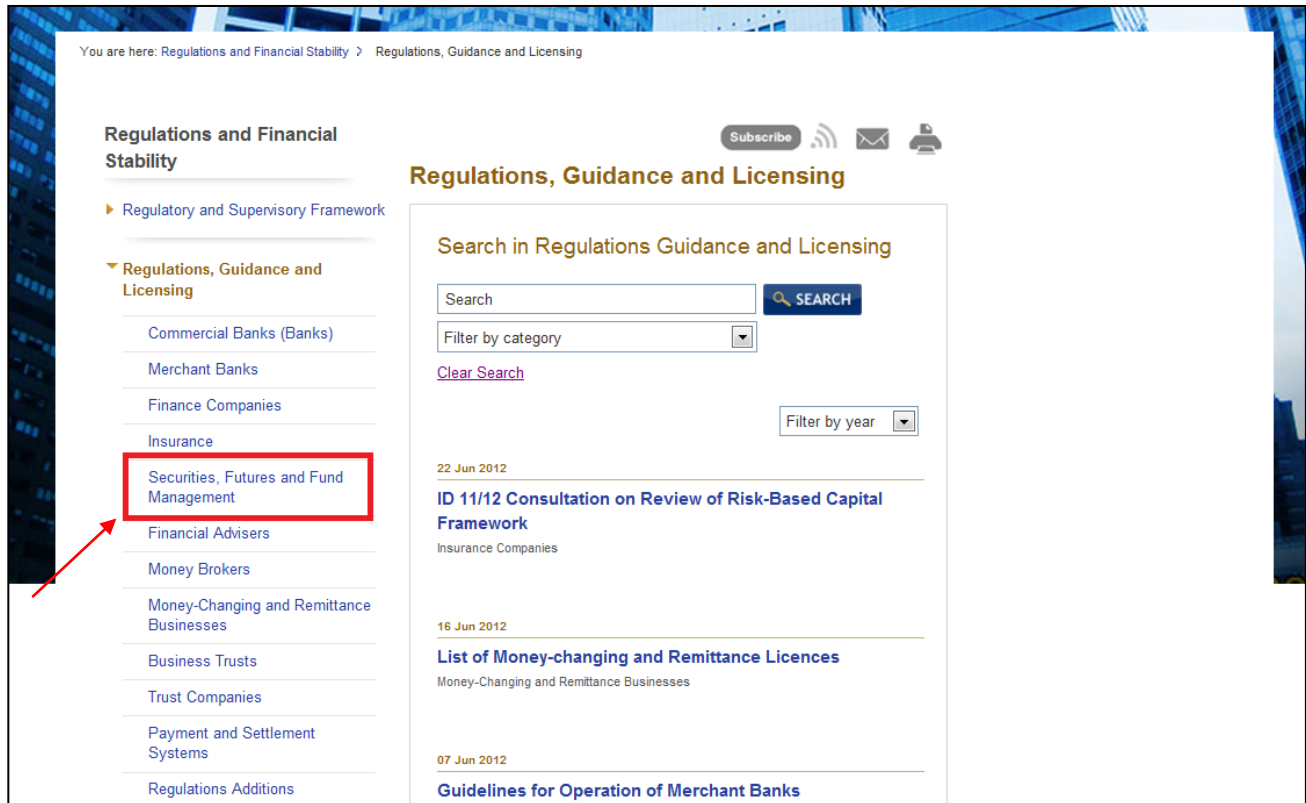


Figure 3.4

### 3.5 Select “Forms”.

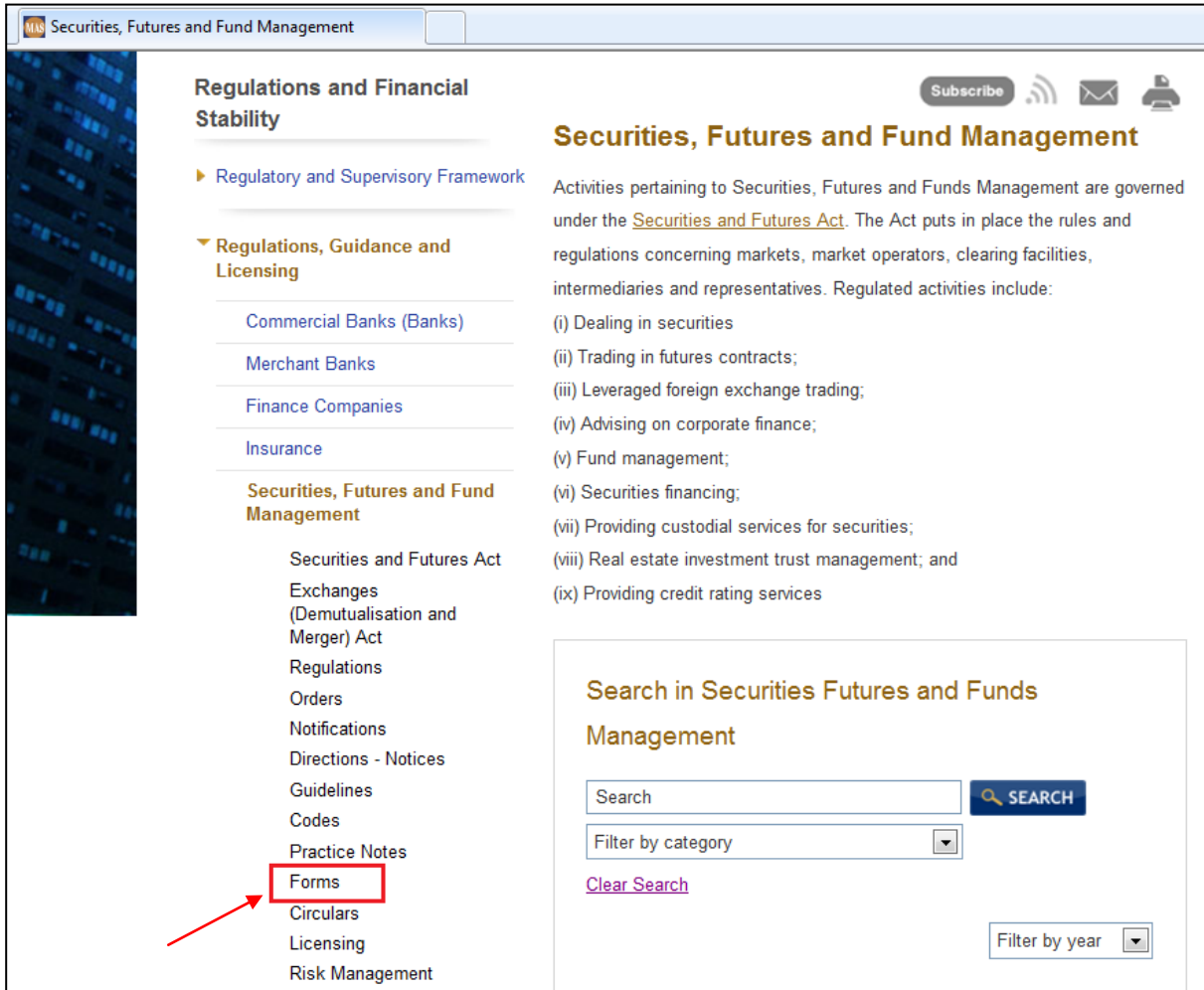


Figure 3.5

3.6 Select “Disclosure of Interests”.

(Mutualisation and Merger) Act CIS Related Regulations Orders Notifications Directions - Notices Guidelines Codes Practice Notes Forms <b>Disclosure of Interests</b> Offers of Business Trusts Markets Forms Clearing Facilities Forms Approved Holding Companies Forms Capital Markets Intermediaries	<b>Form 1</b>	- Responsible person of listed real estate investment trust (REIT)  <b>To:</b> - Listed corporation - Trustee-manager of listed BT - Responsible person of listed REIT  <b>On:</b> Interests or changes in interests in the securities of listed issuer	<a href="#">Form 1 (Electronic) (101KB)</a>	<a href="#">Form 1 (Non-Electronic) (262KB)</a>  <a href="#">Part III Continuation Sheet (Non-Electronic) (162KB)</a>
		<b>By:</b> Director of listed company incorporated in Singapore		<a href="#">Form 2 (Non-Electronic) (235KB)</a>  <a href="#">Part II Continuation</a>

Figure 3.6

3.7 Each Form 1, 3, 5 and 6 must be accompanied by a separate Form C, which contains the particulars and contact details of the person(s) giving notice in the corresponding Form 1, 3, 5 or 6.

3.8 Each Form 1, 3, 5 and 6, and the accompanying Form C, should be completed electronically and sent to the Listed Issuer via an electronic medium (e.g. e-mail attachment).

3.9 The Listed Issuer is also required to complete a Form C when it disseminates Forms 1, 3, 5 and C via SGXNet using the Disclosure of Interest/Changes in Interest SGXNet Announcement Template (i.e. Form 7). The Listed Issuer will not be required to complete a Form C when it disseminates Form 6 as it will already be providing the the accompanying Form C for the trustee-manager/responsible person. **Only soft copies of the electronic Forms 1, 3, 5, 6 and C are allowed to be uploaded on the SGXNet Announcement Template.**

3.10 The Listed Issuer may access the SGNet Announcement Template (i.e. Form 7) at the SGXNet website at <http://www.sgxnet.sgx.com>.

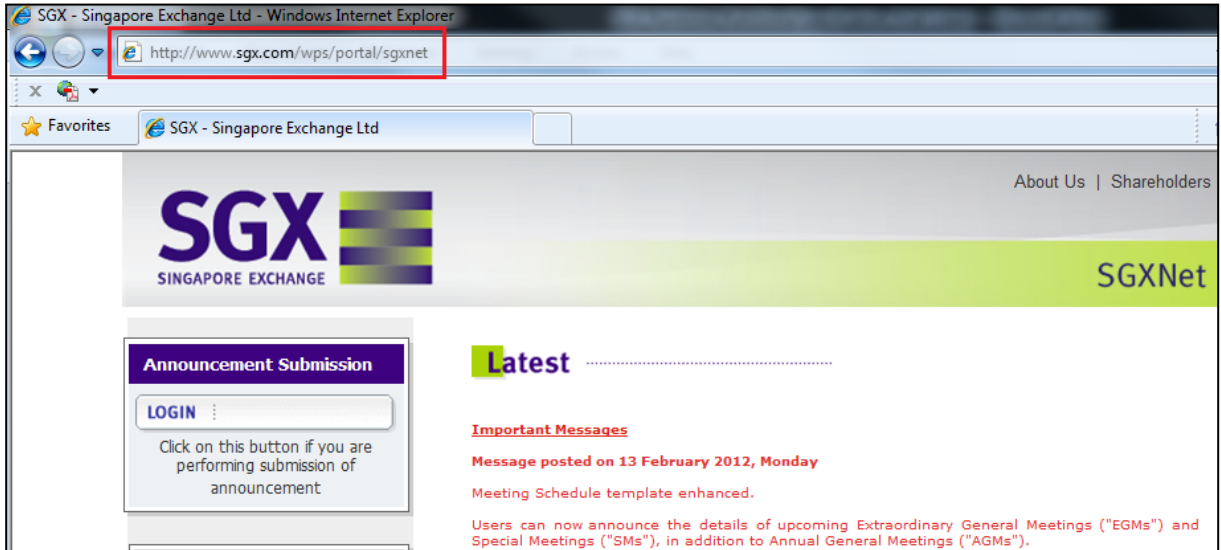


Figure 3.7 – SGXNet Internet website

3.11 Form versions are indicated on the bottom left of each page on each notification form. You should only use the latest version of the relevant notification forms when giving notice of your interests or changes in interest.



Figure 3.8 – Form versions located on the bottom left of each notification form

3.12 You should only fill up the notification forms in the English Language.

## 4 System Requirements

4.1 The notification forms are in PDF format and can be used in an offline mode. The notification forms are designed to be used with platforms that support Adobe Acrobat 9.0 or newer versions, and Adobe Reader 9.0 or newer versions. You may download a free version of Adobe Reader at Adobe's Internet website: <http://www.adobe.com/downloads/>.

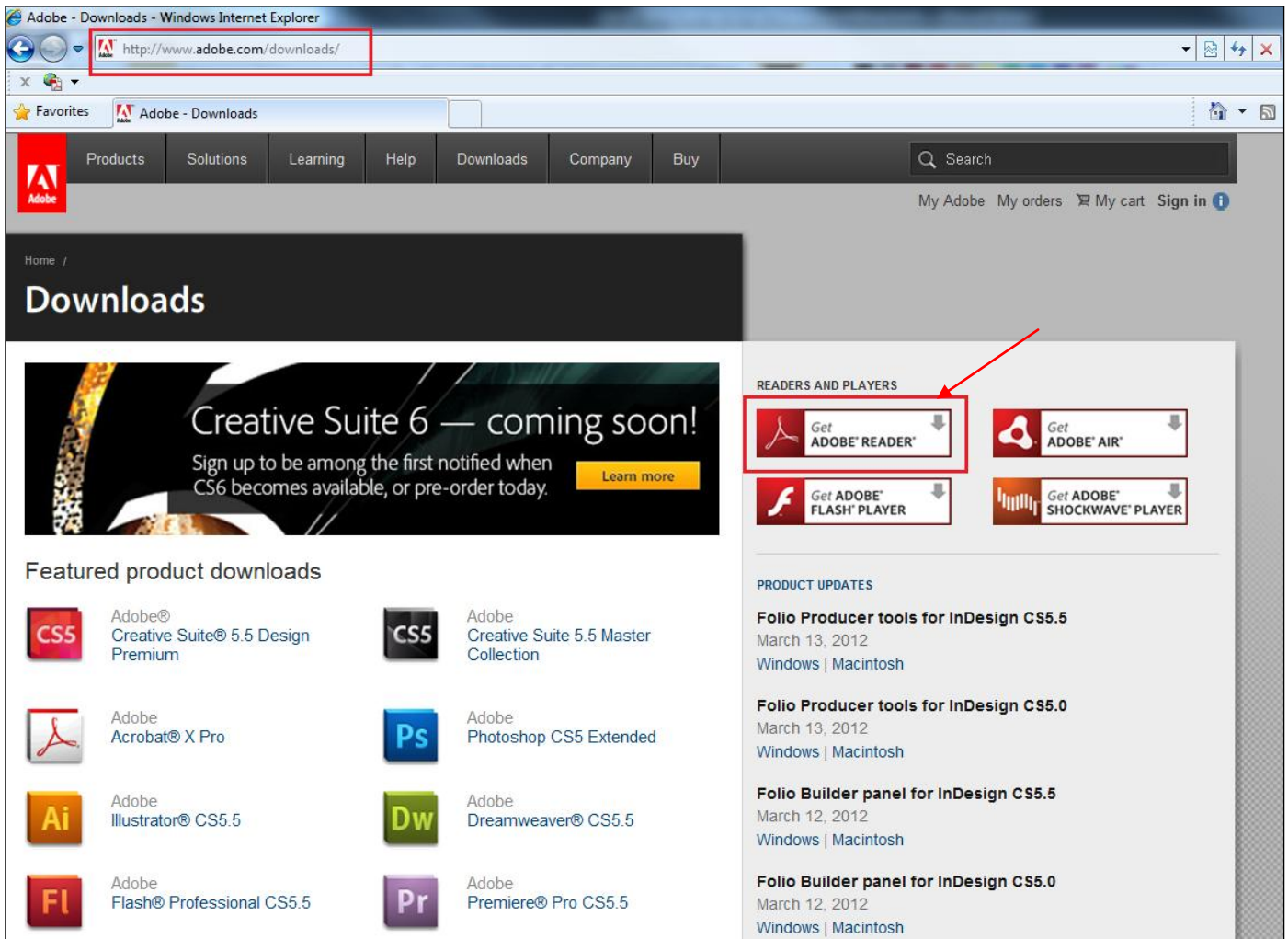


Figure 4.1 – Adobe's Internet website

## 5 General Functionalities of the Notification Forms

### General



5.1 Please read the explanatory notes on the first page of the relevant notification forms carefully before completing them.

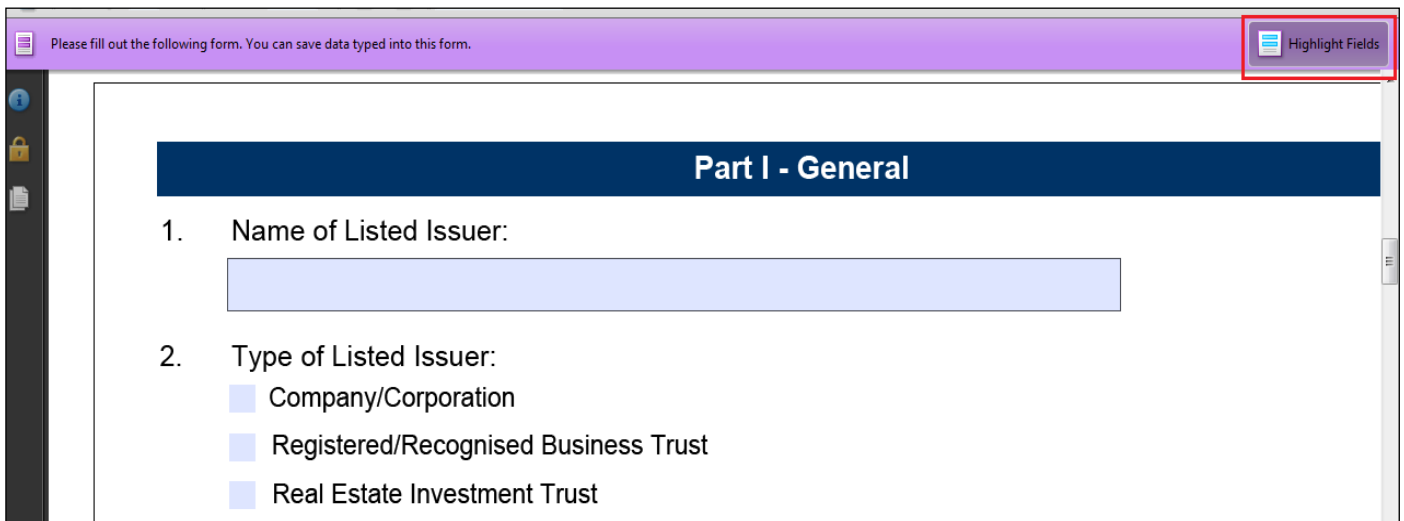
<p>SECURITIES AND FUTURES ACT (CAP. 289) SECURITIES AND FUTURES (DISCLOSURE OF INTERESTS) REGULATIONS 2012</p> <p><b>NOTIFICATION FORM FOR DIRECTOR/CHIEF EXECUTIVE OFFICER IN RESPECT OF INTERESTS IN SECURITIES</b></p>	<p><b>FORM 1</b></p> <p>(Electronic Format)</p>
<p><b>Explanatory Notes</b></p> <ol style="list-style-type: none"> <li>1. Please read the explanatory notes carefully before completing this notification form.</li> <li>2. This form is for a Director/Chief Executive Officer ("CEO") to give notice of his interests in the securities of the Listed Issuer under section 133, 137N or 137Y of the Securities and Futures Act (Cap. 289) (the "SFA"). Please note that the requirement to disclose interests in participatory interests applies <u>only</u> to a director and where the Listed Issuer is a Singapore-incorporated company.</li> <li>3. This electronic Form 1 and a separate Form C, containing the particulars and contact details of the Director/CEO, must be completed by the Director/CEO or a person duly authorised by him to do so. The person so authorised should maintain records of information furnished to him by the Director/CEO.</li> <li>4. This form and Form C, are to be completed electronically and sent to the Listed Issuer via an electronic medium such as an e-mail attachment. The Listed Issuer will attach both forms to the prescribed SGXNet announcement template for dissemination as required under section 137G(1), 137R(1) or 137ZC(1) of the SFA, as the case may be. While Form C will be attached to the announcement template, it will not be disseminated to the public and is made available only to the Monetary Authority of Singapore (the "Authority").</li> <li>5. A single form may be used by a Director/CEO for more than one transaction resulting in notifiable obligations which occur within the same notifiable period (i.e. within two business days of becoming aware of, the earliest transaction). There must be no netting-off of two or more notifiable transactions even if they occur within the same day.</li> <li>6. All applicable parts of the notification form must be completed. If there is insufficient space for your answers, please include attachment(s) by clicking on the paper clip icon on the bottom left-hand corner or in item 3 of Part II or item 10 of Part III. The total file size for all attachment(s) should not exceed 1MB.</li> <li>7. Except for item 4 of Part III, please select only one option from the relevant check boxes.</li> <li>8. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.</li> <li>9. In this form, the term "Listed Issuer" refers to –             <ol style="list-style-type: none"> <li>(a) a company incorporated in Singapore any or all of the shares in which are listed for quotation on the official list of a securities exchange;</li> <li>(b) a corporation (not being a company incorporated in Singapore, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;</li> <li>(c) a registered business trust (as defined in the Business Trusts Act (Cap. 31A)) any or all of the units in which are listed for quotation on the official list of a securities exchange;</li> <li>(d) a recognised business trust any or all of the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing; or</li> <li>(e) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing ("Real Estate Investment Trust").</li> </ol> </li> <li>10. For further instructions and guidance on how to complete this notification form, please refer to section 6 of the User Guide on Electronic Notification Forms which can be accessed at the Authority's Internet website at <a href="http://www.mas.gov.sg">http://www.mas.gov.sg</a> (under "Regulations and Financial Stability", "Regulations, Guidance and Licensing", "Securities, Futures and Fund Management", "Forms", "Disclosure of Interests").</li> </ol>	

Figure 5.1 – Explanatory notes

5.2 As the notification forms are interactive and dynamic, certain sections will only appear if specific checkboxes are selected. You will be able to type in information and save information in the notification forms.


### Highlight Field

5.3 For easy identification of the fields when filling up the notification form, you may activate the “Highlight Fields” by clicking on  to the right of the purple banner. If you do not wish to highlight the fields, you can turn the function off by clicking on .




*Figure 5.2 – Highlight Fields Function*

### Information Text


5.4 The information icon  provides additional guidance on the data field. A mouse-over of the information icon will show an additional pop-up help text box.



**Transaction A** 

1. Date of acquisition

In a case where the Director/CEO is giving notice in respect of multiple transactions in the same form, please click the button, "Add new Part III transaction" at the end of this Part III transaction, to provide details of each additional transaction.

2. Date on which Director/CEO became aware of the acquisition of, or change in, interest   
*(if different from item 1 above, please specify the date):*

Although the built-in logic will generate item 2 to be the same as item 1, you may change item 2 if it is different from item 1.

Figure 5.3 – Information icon and additional pop-up help text boxes

### Text in Italics

5.5 You may also observe that certain text in the notification form is in *italics*. Such italicised text provides additional instructions on filling up the data fields.

4. Explanation *(if the date of becoming aware is different from the date of acquisition of, or change in, interest):*

Figure 5.4 – Text in italics

### Data Fields

5.6 There are 4 major types of data fields – text, numeric, date and checkboxes. All data fields in the notification forms have a rectangular frame around them for ease of identification.

#### *Text Fields*

5.7 There is no restriction on the type of characters. You may key in any character in text fields.

1. Name of Listed Issuer:

Figure 5.5 – Text Fields

#### *Numeric Fields*



5.8 Numeric fields in notification forms only appear in the tables that require you to disclose information relating to voting shares/units held. The default values in numeric fields are set to "0".

5.9 The “Direct Interest” and “Deemed Interest” columns contain editable fields which only allow you to key in numbers and decimals. Negative figures are not permitted. The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures:	300,000	150,000	450,000
As a percentage of total no. of voting shares/units: ⓘ	3	1.5	4.5
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures:	550,000	110,000	660,000
As a percentage of total no. of voting shares/units: ⓘ	5.5	1.1	6.6

Figure 5.6 – Numeric Fields

**Date Fields**

5.10 Date fields only allow you to select a date based on the pre-set calendar control. To select a date, you will need to click on the date field, following which a drop-down button  on the right of the field will appear. The pre-set calendar control will be displayed after you click on the drop-down button . Once you have selected the date, the pre-set calendar control disappears from view and the date is displayed in the field.

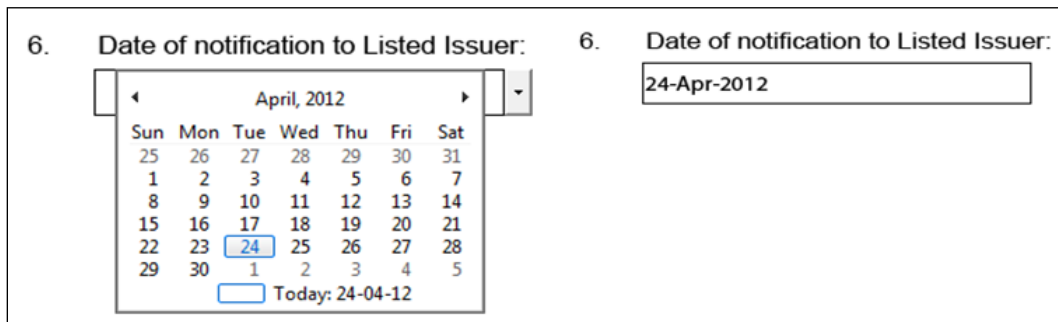


Figure 5.7 – Date Fields

5.11 Validation checks are performed on date fields to ensure that the dates provided in the notification form do not conflict with each other. These checks are incorporated to identify clearly erroneous entries. When an error is detected, a pop-up box will be displayed to explain the error. You will not be able to proceed unless the incorrect data is corrected.

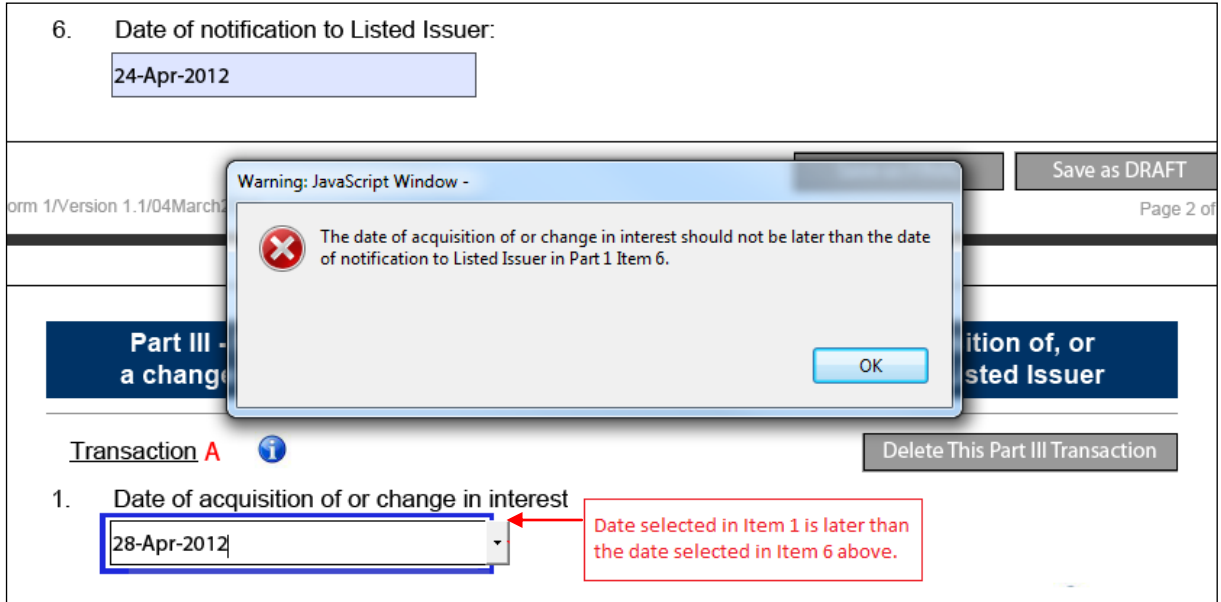


Figure 5.8 – Warning display when conflicting dates are selected within the same notification form

5.12 If you do not have the correct date and would like to proceed to complete the rest of the notification form, you may do so by deleting the incorrect date in the field such that no value is reflected. The relevant date, however, must be provided before you submit the finalised notification form.

### Checkboxes

5.13 Unless otherwise indicated, most checkboxes only allow you to select a single option.

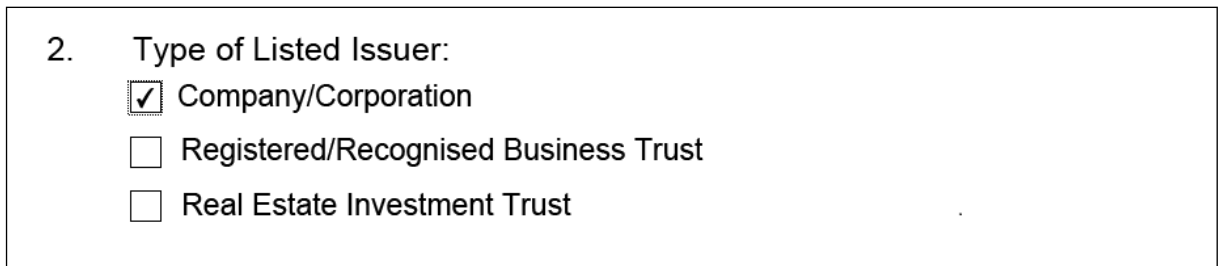


Figure 5.9 – Checkboxes which only allow for a single selection

4. Type of securities which are the subject of the transaction *(more than one option may be chosen)*:

- Ordinary voting shares/units of Listed Issuer
- Other types of shares/units (excluding ordinary voting shares/units) of Listed Issuer
- Rights/Options/Warrants over shares/units of Listed Issuer
- Debentures of Listed Issuer
- Rights/Options over debentures of Listed Issuer
- Contracts over shares of the Listed Issuer which Director/CEO is a party to, or under which he is entitled to a benefit, being contracts under which any person has a right to call for or to make delivery of shares in the Listed Issuer
- Participatory interests made available by Listed Issuer
- Others *(please specify)*:

Figure 5.10 – Checkboxes which allow for multiple selections

### Attachment Fields

5.14 You are not required to fill in any information in the attachment fields. You may choose to add attachments to the notification form by clicking on the paperclip icon in either of the following locations: (i) the attachment field or (ii) at the bottom left of the notification form.

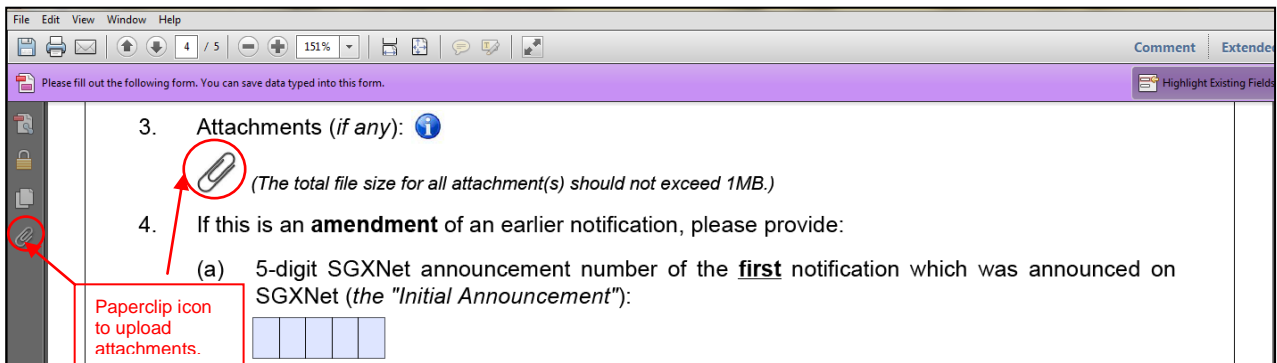




Figure 5.11 – Attachment Fields

5.15 After clicking on the paper clip icon  , the attachment screen will be displayed. You may add attachments to the notification form by clicking on .

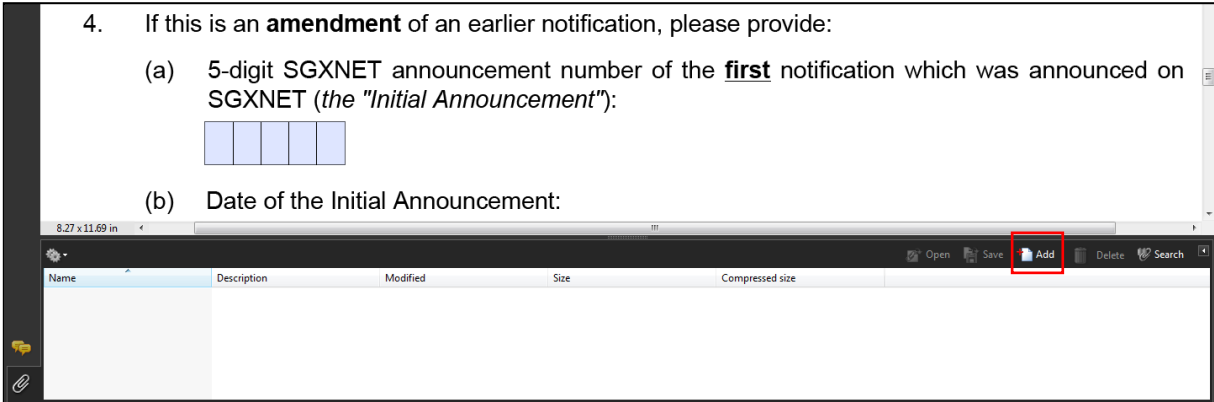

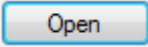


Figure 5.12 – Attachment screen

5.16 After clicking on , you will be prompted to select a file. Select the file and click on  to upload the file to the notification form. The uploaded file will be displayed in the attachment screen.

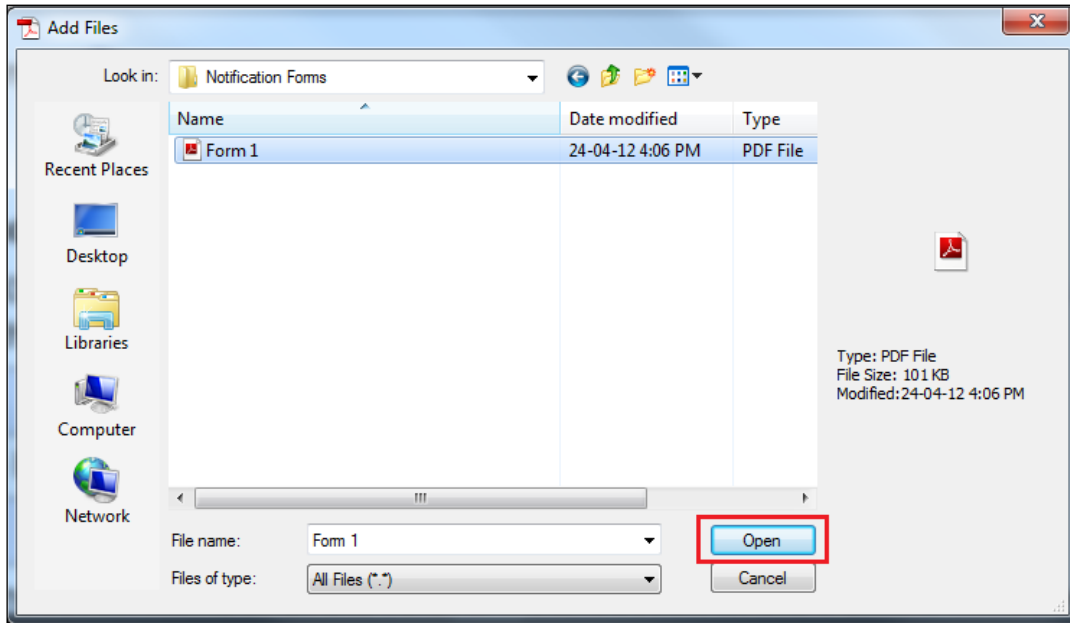


Figure 5.13 – Dialog box to upload attachment to the notification form

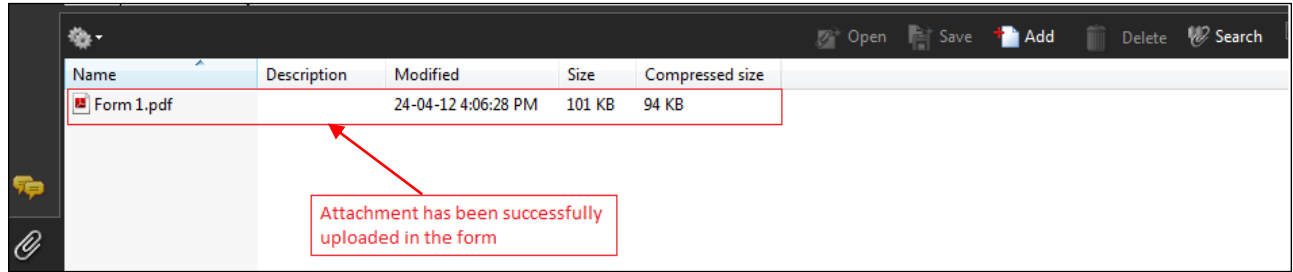


Figure 5.14 – Uploaded file in the attachment screen

5.17 Repeat the steps in paragraph 5.16 to upload multiple files.

5.18 To open, save or delete the uploaded file, you have to first select the file in the attachment screen.

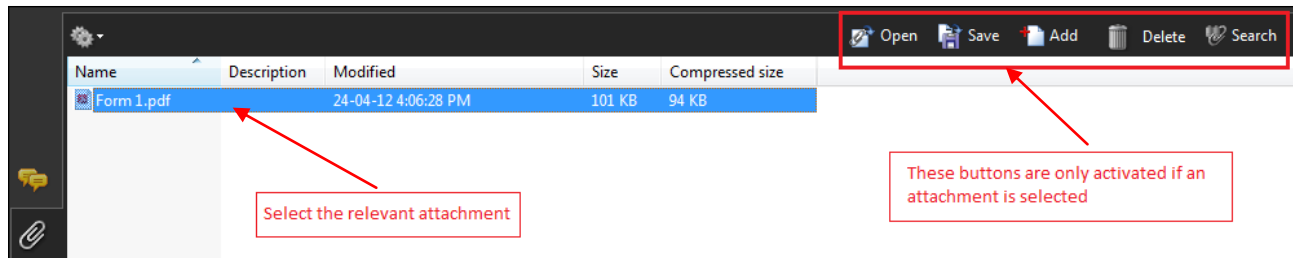





Figure 5.15 – Selection of uploaded file in the attachment screen

5.19 Click on  to view the contents of the attachment.

5.20 Click on  to save the attachment on your local hard drive.

5.21 Click on  to delete the attachment. A dialog box will be displayed and you will be prompted to confirm the deletion of the selected attachment.

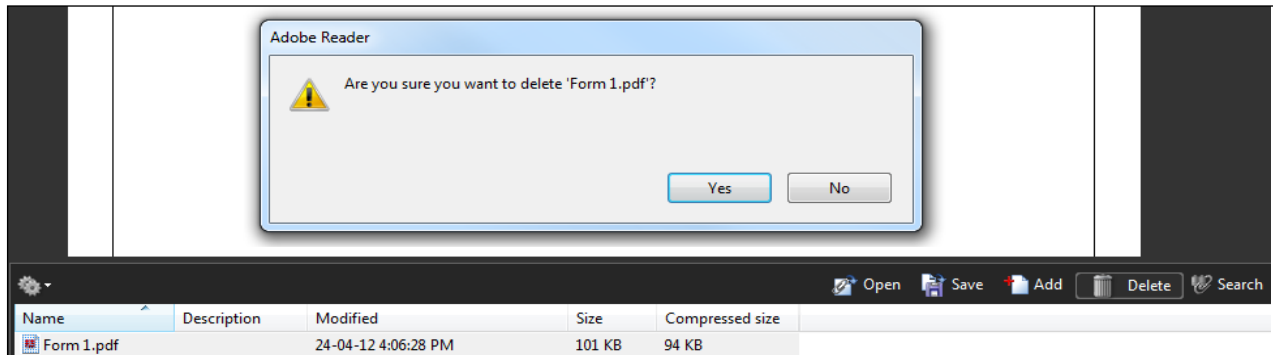


Figure 5.16 – Deletion of uploaded attachment

5.22 Please note that the total file size for all attachment(s) should not exceed 1MB. If the total file size for all attachment(s) exceeds 1MB, a pop-up message will appear when you save the notification form.

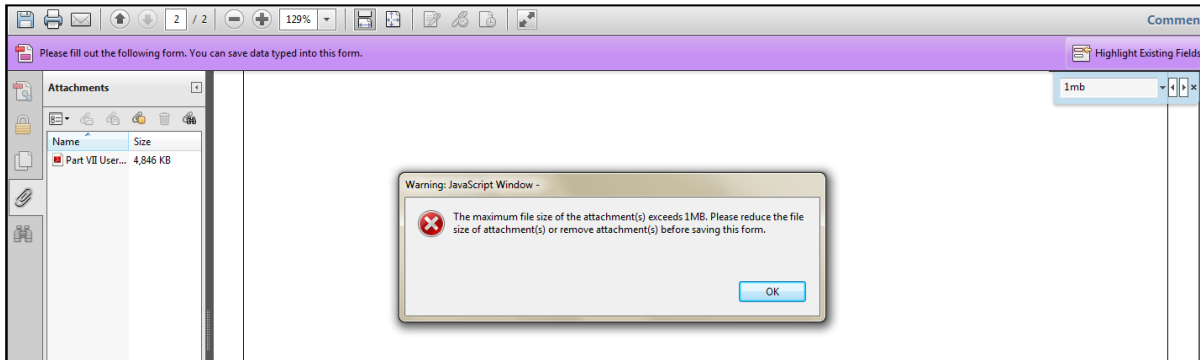


Figure 5.17 – Pop-up message appears when the total file size exceeds 1MB

### Transaction Reference Number Fields

5.23 The transaction reference number will be generated automatically when an electronic form is launched. This number, which is non-editable, provides a reference number to the specific transaction that is the subject of the disclosure. Where you are notifying multiple transactions using the same notification form, one transaction reference number will be generated for each transaction that is disclosed in the notification form.

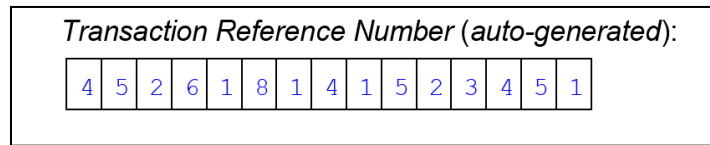


Figure 5.18– Transaction Reference Number Fields

### Adding Sections, Transactions or Persons Giving Notice

5.24 The notification form is dynamic. When you first launch the electronic form, only a minimal view of the notification form is presented. Based on selections made in certain checkboxes, new sections of the notification form will be presented. Changes to the selections in the checkboxes may cause certain sections to be removed and data contained within to be deleted.

5.25 Using Form 1 as an example, depending on your selection in item 5 of Part I, either Part II or Part III will be presented. A warning display will also appear when you change your selection in the checkboxes.

**Part I - General**

1. Name of Listed Issuer:

2. Type of Listed Issuer:  
 Company/Corporation  
 Registered/Recognised Business Trust  
 Real Estate Investment Trust

3. Name of Director/CEO:

4. Is the Director/CEO also a substantial shareholder/unitholder of the Listed Issuer?  
 Yes  
 No

5. Is the Director/CEO notifying in respect of his interests in securities of, or made available by, the Listed Issuer at the time of his appointment?  
 Yes *(Please proceed to complete Part II)*  
 No *(Please proceed to complete Part III)*

6. Date of notification to Listed Issuer:

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**Part II - For a new Director/CEO giving notice of his interests at the date of appointment**

1. Date of appointment as a Director/CEO of the Listed Issuer:

Figure 5.19 – Generation of Part II of Form 1 arising from selection made in Part I - Item 5



**Part I - General**

1. Name of Listed Issuer:

2. Type of Listed Issuer:  
 Company/Corporation  
 Registered/Recognised Business Trust  
 Real Estate Investment Trust

3. Name of Director/CEO:

4. Is the Director/CEO also a substantial shareholder/unitholder of the Listed Issuer?  
 Yes  
 No

5. Is the Director/CEO notifying in respect of his interests in securities of, or made available by, the Listed Issuer at the time of his appointment?  
 Yes *(Please proceed to complete Part II)*  
 No *(Please proceed to complete Part III)*

6. Date of notification to Listed Issuer:

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**Part III - For an incumbent Director/CEO giving notice of an acquisition of, or a change in his interest in, securities of or made available by the Listed Issuer**

Transaction A

1. Date of acquisition of or change in interest:

Figure 5.20 – Generation of Part III of Form 1 arising from selection made in Part I - Item 5

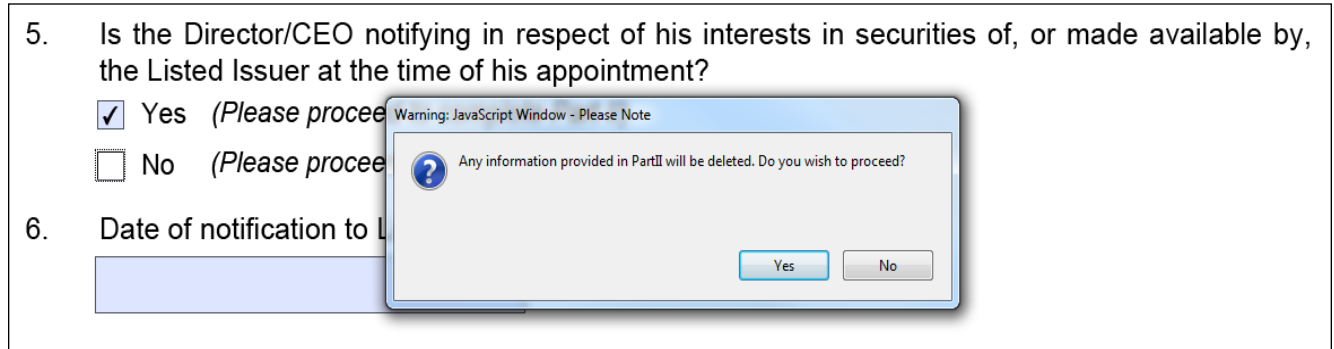



Figure 5.21 – Warning display appears when user changes the selection from “Yes” to “No” in item 5

5.26 For Forms 1, 3 and 6, you may use a single notification form to give notice for more than one transaction if these transactions result in notification obligations which occur within the same notifiable period.

5.27 Using Form 1 as an example, you may add a new transaction in Part III of Form 1 by clicking on .

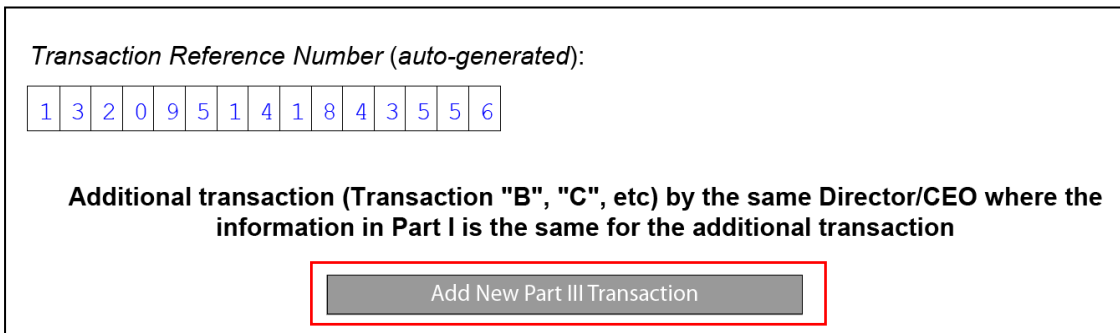


Figure 5.22 – Adding multiple transactions

5.28 When you click on , a new section on Transaction B, C, D and etc will be generated.

**Transaction B** ⓘ

Delete This Part III Transaction

1. Date of acquisition of or change in interest:  
 -
2. Date on which Director/CEO became aware of the acquisition of, or change in, interest ⓘ  
*(if different from item 1 above, please specify the date):*
3. Explanation *(if the date of becoming aware is different from the date of acquisition of, or change in, interest):*
4. Type of securities which are the subject of the transaction *(more than one option may be chosen):*  
 Ordinary voting shares/units of Listed Issuer

Figure 5.23 – New section on Transaction B generated when **Add New Part III Transaction** is selected

5.29 You may also delete multiple transactions by clicking on **Delete This Part III Transaction** on the right of the notification form for those transactions. This button will only be displayed where there is more than one transaction in the same notification form. A warning display will appear when you click on **Delete This Part III Transaction** for a particular transaction.

**Transaction B** ⓘ

Delete This Part III Transaction

1. Date of acquisition of or change in interest:
2. Date on which Director/CEO became aware of the acquisition of, or change in, interest ⓘ  
*(if different from item 1 above, please specify the date):*

change in, interest ⓘ

Warning: JavaScript Window - Deleting Part III  
 ⓘ Any information provided in this Part III transaction will be deleted. Do you wish to proceed?  
 Yes No

Figure 5.24 – Warning display appears when user selects **Delete This Part III Transaction**

5.30 For Forms 3 and 5, where a transaction results in similar notifiable obligations on the part of more than one shareholder/unitholder, all of these shareholders/unitholders may give notice using the same notification form.

5.31 Using Form 3 as an example, you may add a new substantial shareholder/unitholder in Part III of Form 3 by clicking on **Add New Part III Substantial Shareholder/Unitholder** and a new section on Substantial Shareholder/Unitholder B, C, D and etc will be generated.

12. Remarks (if any):

**Additional Substantial Shareholder/Unitholder ("B", "C" etc) where the information in Part I and Part IV is the same for the additional Substantial Shareholder/Unitholder**

**Add New Part III Substantial Shareholder/Unitholder**

Figure 5.25 – Adding multiple substantial shareholders/unitholders

**Substantial Shareholder/Unitholder B** ⓘ **Delete This Part III Substantial Shareholder/Unitholder**

1. Name of Substantial Shareholder/Unitholder:

2. Is Substantial Shareholder/Unitholder a fund manager or a person whose interest in the securities of the Listed Issuer are held solely through fund manager(s)?  
 Yes  
 No

3. Notification in respect of:  
 Becoming a Substantial Shareholder/Unitholder

Figure 5.26 – New section on Substantial Shareholder/Unitholder B generated when **Add New Part III Substantial Shareholder/Unitholder** is selected

5.32 You may also delete multiple substantial shareholders/unitholders by clicking on **Delete This Part III Substantial Shareholder/Unitholder** on the right of the notification form for those substantial shareholders/unitholders. This button will only be displayed where there is more than one substantial shareholder/unitholder giving notice in the same notification form. A warning display will appear when you click on **Delete This Part III Substantial Shareholder/Unitholder** for a particular substantial shareholder/unitholder.

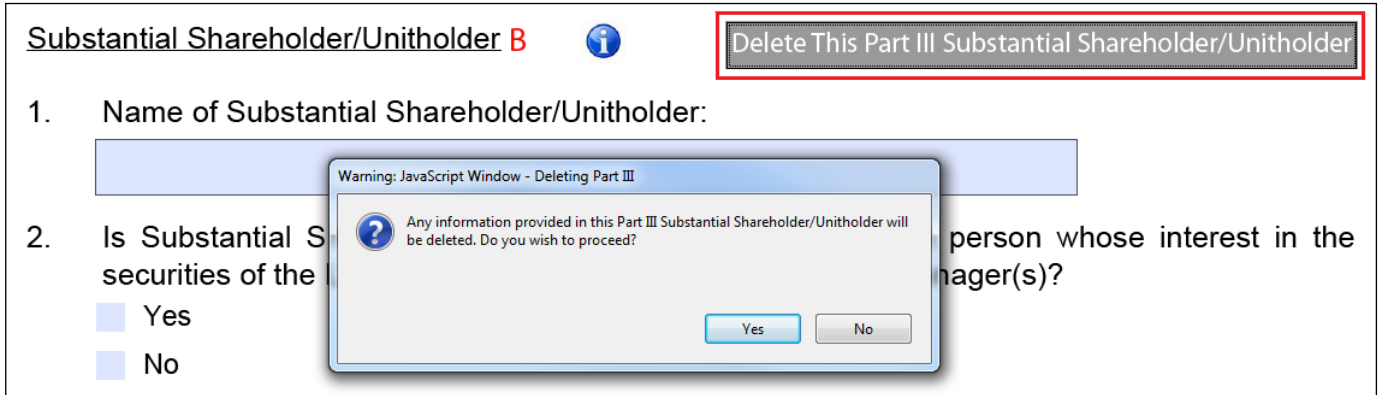


Figure 5.27 – Warning display appears when user deletes a substantial shareholder/unitholder

### Saving the Notification Forms

5.33 If the notification form is partially filled up and you wish to save the information that has been recorded in the notification form, you should save the draft notification form by clicking on **Save as DRAFT**, which is located at the bottom right of the notification form, beginning with the first page of Part I of each form. A dialog box will be displayed and you will be prompted to save the notification form.

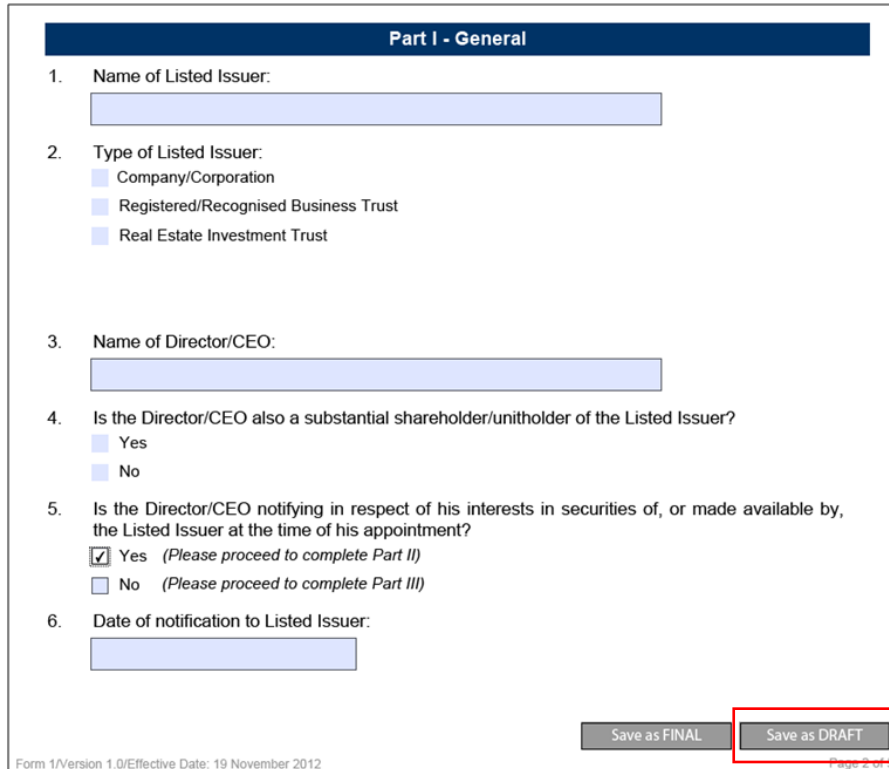


Figure 5.28 – Save as DRAFT button

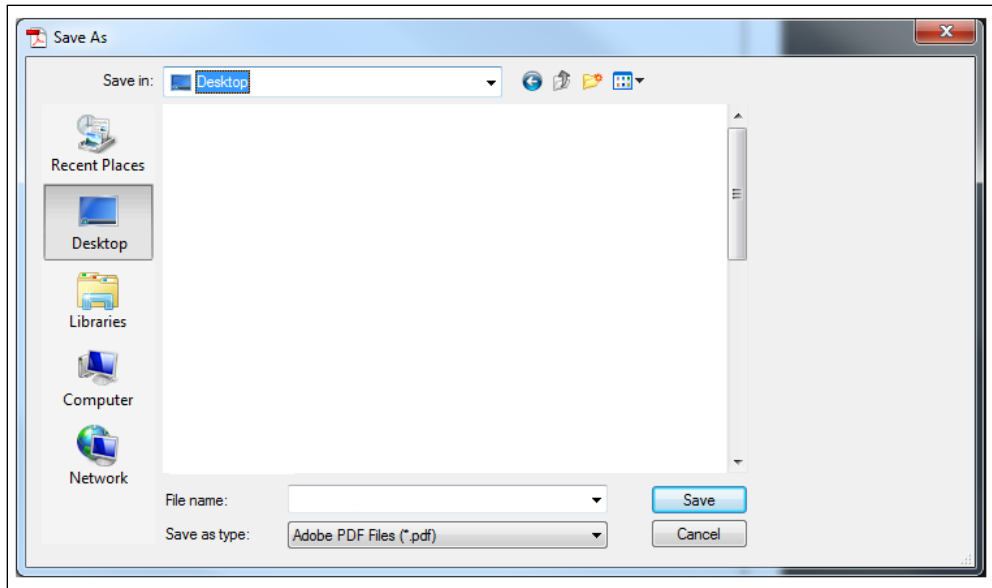


Figure 5.29 – Dialog box display

5.34 If you have completed the notification form, you should click on Save as FINAL, which is located at the bottom right of the notification form, beginning with the first page of Part I of each form.

**Part I - General**

1. Name of Listed Issuer:

2. Type of Listed Issuer:  
 Company/Corporation  
 Registered/Recognised Business Trust  
 Real Estate Investment Trust

3. Name of Director/CEO:

4. Is the Director/CEO also a substantial shareholder/unitholder of the Listed Issuer?  
 Yes  
 No

5. Is the Director/CEO notifying in respect of his interests in securities of, or made available by, the Listed Issuer at the time of his appointment?  
 Yes (Please proceed to complete Part II)  
 No (Please proceed to complete Part III)

6. Date of notification to Listed Issuer:

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Figure 5.30 – Save as FINAL button

5.35 Upon clicking on  , a validation check will be performed to ensure that all mandatory fields in the notification form are completed. If there are mandatory fields that are incomplete or not completed correctly, a warning display will appear, specifying the number of fields that are incomplete or were not completed correctly. These fields will be highlighted with a red border. The cursor will be positioned to the first field that is empty. After you have completed filling up those fields, please click on  to save the notification form.

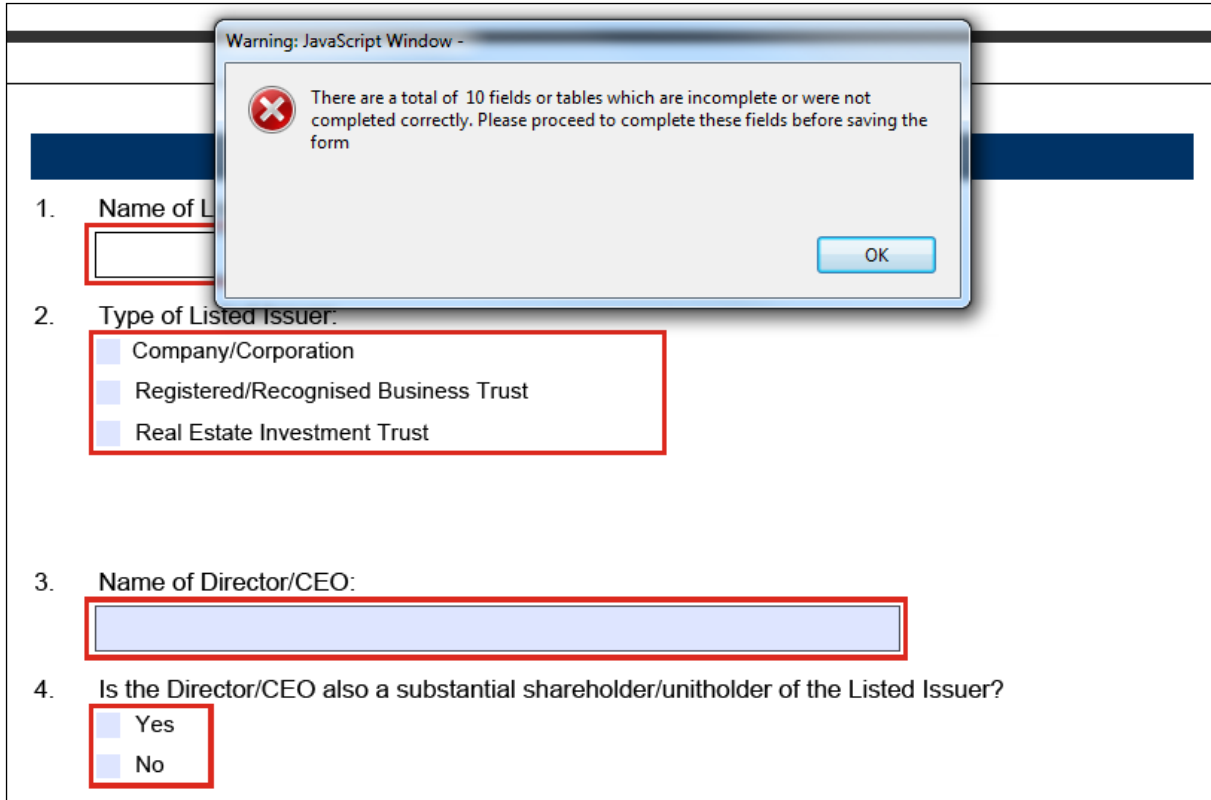


Figure 5.31 – Warning display appears when **Save as FINAL** is selected and data fields are incomplete or not completed correctly

5.36 If the validation check referred to in paragraph 5.35 is successfully completed, a dialog box will appear and you will be prompted to save the notification form.

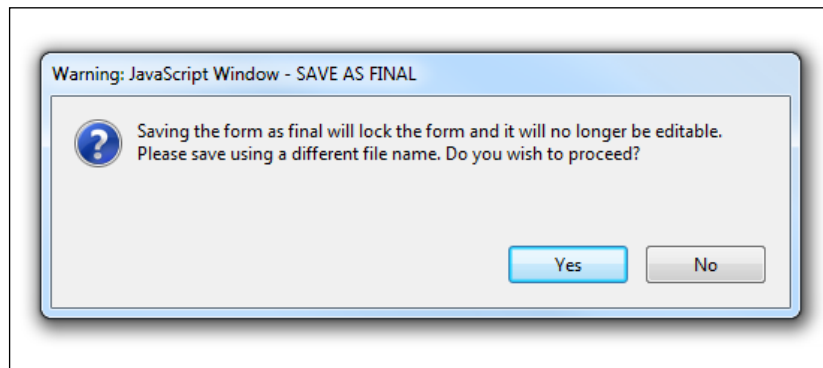



Figure 5.32 – Dialog box appears when **Save as FINAL** is selected

5.37 You should note that saving the notification form as final will result in a “locking” of the notification form and you will not be able to make any further amendments to the notification form. Saving the notification form as final will result in



all functions, except for  function, being deactivated. Thus, you are advised to check through the contents of the notification form and ensure that the data fields are correctly filled up and the relevant documents are attached before saving the notification form as final.

5.38 You should only submit notification forms that have been saved as final.

**IMPORTANT: PLEASE CHECK THAT YOU HAVE SAVED THE NOTIFICATION FORM AS FINAL PRIOR TO SUBMISSION. DRAFT NOTIFICATION FORMS SHOULD NOT BE SUBMITTED.**

Import / Export XML Functions

5.39 At the bottom right of the first page of each notification form are two buttons



SECURITIES AND FUTURES ACT (CAP. 289) SECURITIES AND FUTURES (DISCLOSURE OF INTERESTS) REGULATIONS 2012  <b>NOTIFICATION FORM FOR DIRECTOR/CHIEF EXECUTIVE OFFICER                  IN RESPECT OF INTERESTS IN SECURITIES</b>	<b>FORM 1</b> (Electronic Format)
Explanatory Notes	
<ol style="list-style-type: none"> <li>1. Please read the explanatory notes carefully before completing this notification form.</li> <li>2. This form is for a Director/Chief Executive Officer ("CEO") to give notice of his interests in the securities of the Listed Issuer under section 133, 137N or 137Y of the Securities and Futures Act (Cap. 289) (the "SFA"). Please note that the requirement to disclose interests in participatory interests applies <u>only</u> to a director and where the Listed Issuer is a Singapore-incorporated company.</li> <li>3. This electronic Form 1 and a separate Form C, containing the particulars and contact details of the Director/CEO, must be completed by the Director/CEO or a person duly authorised by him to do so. The person so authorised should maintain records of information furnished to him by the Director/CEO.</li> <li>4. This form and Form C, are to be completed electronically and sent to the Listed Issuer via an electronic medium such as an e-mail attachment. The Listed Issuer will attach both forms to the prescribed SGXNet announcement template for dissemination as required under section 137G(1), 137R(1) or 137ZC(1) of the SFA, as the case may be. While Form C will be attached to the announcement template, it will not be disseminated to the public and is made available only to the Monetary Authority of Singapore (the "Authority").</li> <li>5. A single form may be used by a Director/CEO for more than one transaction resulting in notifiable obligations which occur within the same notifiable period (i.e. within two business days of/of becoming aware of, the earliest transaction). There must be no netting-off of two or more notifiable transactions even if they occur within the same day.</li> <li>6. All applicable parts of the notification form must be completed. If there is insufficient space for your answers, please include attachment(s) by clicking on the paper clip icon on the bottom left-hand corner or in Item 3 of Part II or Item 10 of Part III. The total file size for all attachment(s) should not exceed 1MB.</li> <li>7. Except for Item 4 of Part III, please select only one option from the relevant check boxes.</li> <li>8. Please note that submission of any false or misleading information is an offence under Part VII of the SFA.</li> <li>9. In this form, the term "Listed Issuer" refers to –                         <ol style="list-style-type: none"> <li>(a) a company incorporated in Singapore any or all of the shares in which are listed for quotation on the official list of a securities exchange;</li> <li>(b) a corporation (not being a company incorporated in Singapore, or a collective investment scheme constituted as a corporation) any or all of the shares in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing;</li> <li>(c) a registered business trust (as defined in the Business Trusts Act (Cap. 31A)) any or all of the units in which are listed for quotation on the official list of a securities exchange;</li> <li>(d) a recognised business trust any or all of the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing; or</li> <li>(e) a collective investment scheme that is a trust, that invests primarily in real estate and real estate-related assets specified by the Authority in the Code on Collective Investment Schemes, and any or all the units in which are listed for quotation on the official list of a securities exchange, such listing being a primary listing ("Real Estate Investment Trust").</li> </ol> </li> <li>10. For further instructions and guidance on how to complete this notification form, please refer to section 6 of the User Guide on Electronic Notification Forms which can be accessed at the Authority's internet website at <a href="http://www.mas.gov.sg">http://www.mas.gov.sg</a> (under "Regulations and Financial Stability", "Regulations, Guidance and Licensing", "Securities, Futures and Fund Management", "Forms", "Disclosure of Interests").</li> </ol>	
<div style="display: flex; justify-content: flex-end; gap: 10px;"> <div style="border: 1px solid red; padding: 2px 10px; background-color: #ccc;">Import XML</div> <div style="border: 1px solid red; padding: 2px 10px; background-color: #ccc;">Export XML</div> </div>	

Figure 5.33 – and

5.40 **Export XML** and **Import XML** allow you to export and import the data contents (in XML format) in a notification form to a blank Form (of the same form number and version), or Form C, so that there is no need to enter the same data twice. The export function will continue to be activated even for Forms which have been saved as final.

5.41 You should click on **Export XML** to export the data in XML format. After clicking on **Export XML**, you will be prompted to save the data file in XML format.

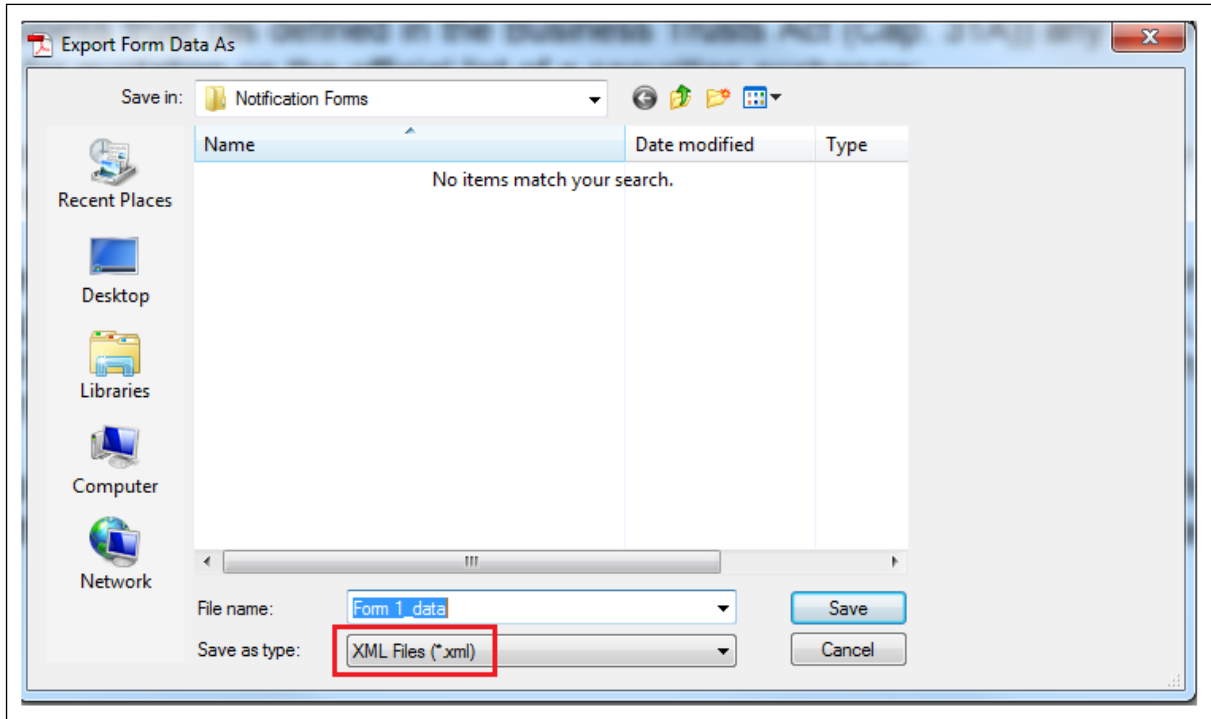


Figure 5.34 – Dialog box display when **Export XML** is selected

5.42 All data (except for transaction reference numbers) contained within the notification form at that time will be saved in the XML file. If the notification form has not been saved as final, you may continue to amend the notification form. However, any subsequent amendments made to the notification form after clicking on **Export XML** will not be saved in the XML file. Hence, you will need to click on **Export XML** again to save another XML file which will incorporate the subsequent amendments made.

5.43 You should note that attachments uploaded in the notification form will **not** be saved in the XML file.

5.44 To import the data contained in the XML file to a new notification form (of the same form number and version), you should open the new notification form and click on **Import XML**. You will then be prompted to select the relevant XML file.

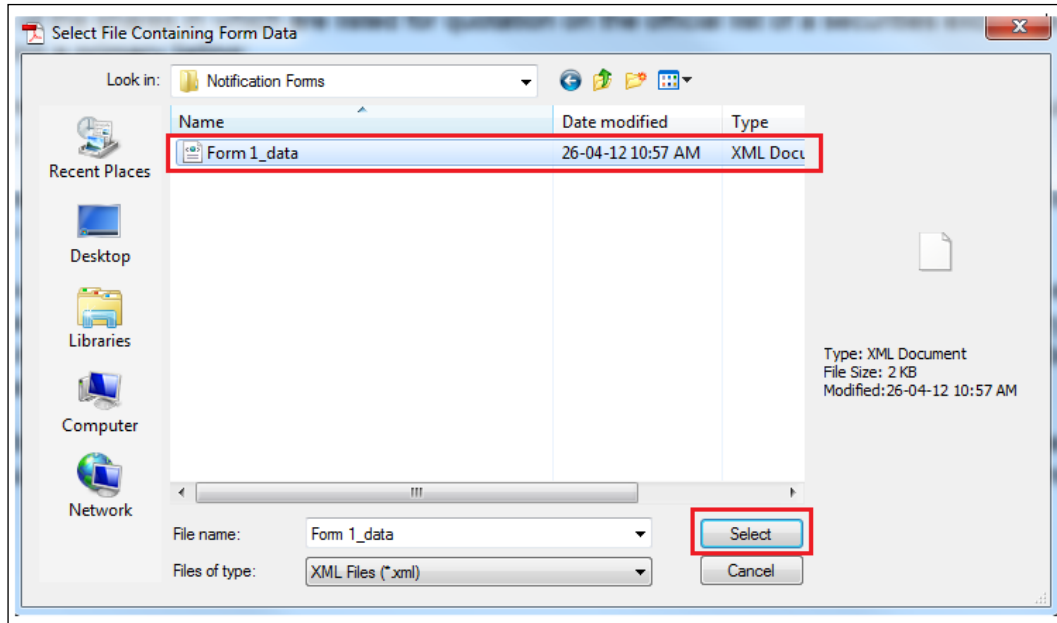


Figure 5.35 – Dialog box appears when **Import XML** is selected

5.45 If the form number and the version of the new notification form are compatible with the data contained in the XML file, all the relevant data fields (except for transaction reference numbers) in the new notification form will be automatically updated with the data that was contained in the original notification form. Otherwise, the data fields in the new notification form will remain blank.

5.46 When importing an XML file into a new notification form, the transaction reference number contained in the original notification form is not imported as the number is unique to each transaction and form.

5.47 If you import an XML file containing data from Form 1, 3, 5 or 6, into a Form C, only the data containing the name(s) of the reporting person(s) will be imported into Form C. Further, the checkbox in Part I – Item 1 of Form C will also be automatically selected depending on which form data has been imported (e.g. if you import an XML file containing data from Form 3, Substantial Shareholder(s)/Unitholder(s) (*Form 3*) checkbox in Part I – Item 1 of Form C will be selected). Please refer to paragraph 10.9 for details on Part I – Item 1 of Form C.

5.48 When importing an XML file into a new notification form, attachments in the original notification form will **not** be imported into the new form. You have to manually

upload the attachments again. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

### Page Size and Font

5.49 The page size of the notification form is set to A4 for ease of printing. Standard font is used throughout a notification form. However, as the platform on which the notification form is viewed on and the availability of font types might be different, you may not see a consistent font when viewing the notification form on different screens.

## 6 Specific Guidance for director/CEO to give notice using Form 1

### Persons required to give notice using Form 1

- 6.1 You should only use Form 1 to give notice if you are a director or CEO of a:
- (a) listed company/corporation;
  - (b) trustee-manager of a listed registered or recognised BT; or
  - (c) responsible person of a listed REIT,

who has incurred a notifiable obligation under section 133, 137N or 137Y of the SFA.

6.2 If you have been authorised by a director/CEO to give notice on his behalf, you should fill up Form 1 based on the information that has been provided to you by the director/CEO. You should maintain records of the information furnished to you.

6.3 If you are giving notice of your interests in securities of a related corporation of a Listed Company under section 133 of the SFA, you should use Form 2, which is a non-electronic PDF form. Form 2 is available for download at the Authority's internet website. (Please refer to Section 3 of this User Guide for the Authority's internet website to download the forms). Form 2 should be submitted to the Listed Issuer either by post, fax, e-mail or hand despatch.

### Timing of notification

6.4 Where you are giving notice of your interest in securities at the time of your appointment as a director/CEO of the Listed Issuer, you must send the completed Form 1 and Form C to the Listed Issuer via an electronic medium (e.g. e-mail) within 2 business days of your appointment.

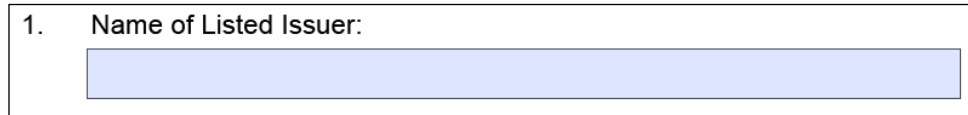
6.5 Where you are giving notice of an acquisition or change in particulars of, your interest in securities of the Listed Issuer, you must send the completed Form 1 and Form C to the Listed Issuer via an electronic medium (e.g. e-mail) within 2 business days of acquiring an interest in the securities, or within 2 business days of becoming aware of the change.

### Filling up Part I of Form 1

6.6 Part I captures general details of your notice. It is mandatory to complete all the fields in Part I.

*Part I - Item 1*

6.7 Item 1 requires you to specify the name of the Listed Issuer. You should provide the full name of the Listed Issuer which should be the same as that in the UEN or the corporation number.



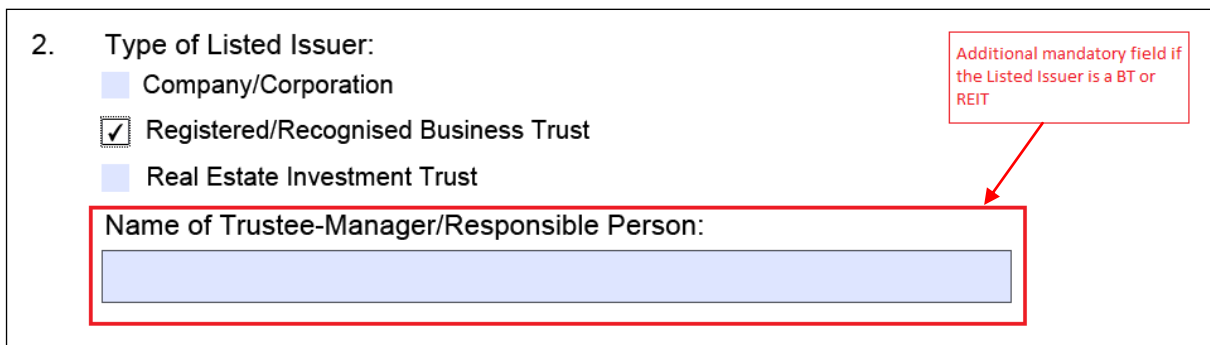
1. Name of Listed Issuer:

[Text input field]

Figure 6.1 – Part I - Item 1

*Part I - Item 2*

6.8 You may only select one checkbox in item 2. If you have selected the checkbox for “Registered/Recognised Business Trust” or “Real Estate Investment Trust”, an additional text field “Name of Trustee-Manager/Responsible Person” will be displayed. You should provide the full name of the Trustee-Manager/Responsible Person which should be the same as that in the UEN or the corporation number.



2. Type of Listed Issuer:

- Company/Corporation
- Registered/Recognised Business Trust
- Real Estate Investment Trust

Name of Trustee-Manager/Responsible Person:

[Text input field]

Additional mandatory field if the Listed Issuer is a BT or REIT

Figure 6.2 – Part I - Item 2

6.9 If, after selecting the checkbox for either “Registered/Recognised Business Trust” or “Real Estate Investment Trust”, and you change your selection to the checkbox “Company/Corporation”, the field “Name of Trustee-Manager/Responsible Person” will be hidden. Any data that had been filled in previously will still be retained and will be visible if you change the selection back to either “Registered/Recognised Business Trust” or “Real Estate Investment Trust”.

*Part I - Item 3*

6.10 Item 3 requires you to key in your name, which should be the same as that in your NRIC, foreign identification or passport.

3. Name of Director/CEO:

Figure 6.3 – Part I - Item 3

*Part I - Item 4*

6.11 You may only select one checkbox in item 4, which requires you to specify if you are also a substantial shareholder/unitholder<sup>3</sup> of the Listed Issuer. You should select the checkbox “Yes”, if you have an interest of 5% or more in the voting shares or units of the Listed Issuer (i.e. you are considered to be a substantial shareholder/unitholder of the Listed Issuer). Otherwise, you should select the checkbox “No”.

4. Is the Director/CEO also a substantial shareholder/unitholder of the Listed Issuer?

Yes

No

Figure 6.4 – Part I - Item 4

*Part I - Item 5*

6.12 You may only select one checkbox in item 5 which requires you to specify if, as a director/CEO, you are giving notice in respect of your interests in securities of the Listed Issuer at the time of, or made available by, your appointment. Depending on your selection of the checkboxes “Yes” or “No”, either Part II or Part III of Form 1 will be displayed.

5. Is the Director/CEO notifying in respect of his interests in securities of, or made available by, the Listed Issuer at the time of his appointment?

Yes (Please proceed to complete Part II)

No (Please proceed to complete Part III)

Part II will only be generated if Yes is selected

Part III will only be generated if No is selected

Figure 6.5 – Part I - Item 5

6.13 You should select the checkbox “Yes” if you are giving notice pursuant to your appointment as a director/CEO of the Listed Issuer and you hold securities in the

<sup>3</sup> A person is considered to be a substantial shareholder/unitholder of the Listed Issuer if he has an interest in one or more voting shares/units of the Listed Issuer, and the total votes attached to those shares/units is not less than 5% of the total votes attached to all the voting shares/units of the Listed Issuer.



Listed Issuer at that date of appointment. Part II of the notification form will be presented in the subsequent pages.

6.14 After the date of your appointment as director/CEO, you should select “No” if you are giving notice of your acquisition of securities of the Listed Issuer or of a change in interest in securities of the Listed Issuer. Part III of the notification form will be presented in the subsequent pages.

6.15 If you decide to change your selection in item 5, you should note that any information that has been filled in previously for Part II or Part III of Form 1 will be deleted. A warning display will appear and you will be asked to confirm if you wish to proceed before the changes in the notification form take effect.

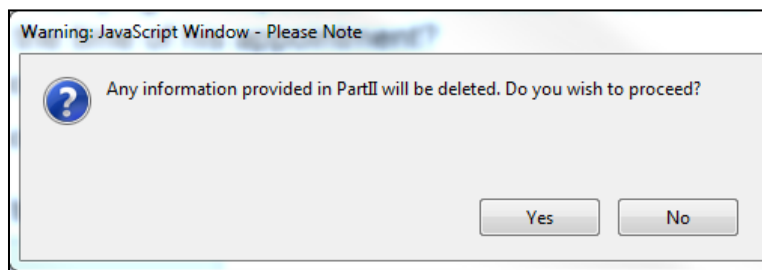


Figure 6.6 – Warning display when user changes selection in Item 5

#### Part I - Item 6

6.16 Item 6 is a date field which requires you to select the date on which the notification form will be submitted to the Listed Issuer.

A screenshot of a form field for Item 6. The label is "6. Date of notification to Listed Issuer:". Below the label is a rectangular input field with a small downward-pointing arrow on the right side, indicating it is a date selection dropdown menu.

Figure 6.7 – Part I - Item 6

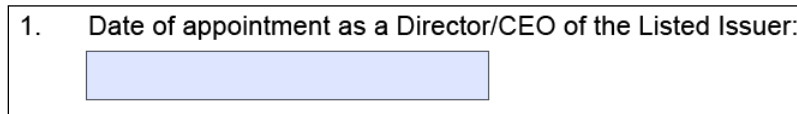
6.17 You should ensure that the date selected is not earlier than:

- (a) the “Date of appointment as a Director/CEO of the Listed Issuer” in item 1 of Part II; or
- (b) the “Date of acquisition of or change in interest” in item 1 of Part III and “Date on which Director/CEO became aware of the acquisition of, or change in, interests” in item 2 of Part III.

### Filling up Part II of Form 1

#### *Part II - Item 1*

6.18 Item 1 is a date field which requires you to select the date on which you were appointed as a director/CEO on the board of the Listed Issuer. You should ensure that the date selected is not later than the “Date of notification to Listed Issuer” in item 6 of Part I. It is mandatory to complete item 1.



1. Date of appointment as a Director/CEO of the Listed Issuer:

*Figure 6.8 – Part II - Item 1*

#### *Part II - Item 2*

6.19 Item 2 of Part II requires you to fill in details of the securities which you held at the time of appointment. Only the fields for “Ordinary voting shares/units of Listed Issuer” are numeric fields. All the other fields are editable text fields. It is mandatory for you to key in the information for at least one type of security.

2. Details of interest in securities:


Description of securities	Quantum of Interests			Circumstances giving rise to deemed interests <i>[You may attach a chart in item 3 to show how your deemed interests arise.]</i>	
		Direct Interest	Deemed Interest		Total
(a) Ordinary voting shares/units of Listed Issuer	No. of ordinary voting shares/units held :	300,000	60,000	360,000	} <b>Numeric fields</b>
	As a percentage of total no. of ordinary voting shares/units: 	3.00	0.6	3.6	
(b) Other shares/units (excluding ordinary voting shares/units) of Listed Issuer	No. of shares/units held:	1 million Class B preference shares	Nil	1 million Class B preference shares	} <b>Editable text fields</b>
(c) Rights/Options/Warrants over shares/units of Listed Issuer	No. of rights/options/warrants held:				
	No. (if known) of shares/units underlying the rights/options/warrants:				
(d) Debentures of Listed Issuer	Principal amount:				
	No. (if known) of shares/units underlying convertible debentures:				
(e) Rights/Options over debentures of Listed Issuer	No. of rights/options held:				
	Principal amount (if known) of debentures underlying the rights/options:				
(f) Contracts over shares of the Listed Issuer which the Director/CEO is a party to, or under which he is entitled to a benefit, being contracts under which any person has a right to call for or to make delivery of shares in the Listed Issuer	Principal value of contracts held:				
	No. (if known) of shares/units underlying the contracts:				
(g) Participatory interests made available by Listed Issuer	No. of participatory interests held:				
(h) Others (please specify)					

Figure 6.9 – Part II - Item 2

6.20 Where you are giving notice in respect of securities in which you have a deemed interest, you are required to elaborate on the circumstances giving rise to the deemed interest. If the space provided in the notification form is insufficient or you wish to attach an organisation chart, you may do so by uploading attachments to the notification form in Item 3. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

*Part II - Item 4*

6.21 If you are submitting a Form 1 to amend an earlier Form 1 which had been disseminated by the Listed Issuer through SGXNet, you are required to fill up the three fields in item 4.

4. If this is an **amendment** of an earlier notification, please provide:

(a) 5-digit SGXNET announcement number of the **first** notification which was announced on SGXNET (*the "Initial Announcement"*):

(b) Date of the Initial Announcement:

(c) 15-digit transaction reference number of the relevant transaction in the Form 1 which was attached in the Initial Announcement:

Figure 6.10 – Part II - Item 4

6.22 The information required to be provided in item 4 is in respect of the **initial** Form 1 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 1 (e.g. the reasons for the amendments), you may do so by filling in such details in item 5 (please refer to paragraph 6.23) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

*Part II - Item 5*

6.23 Item 5 is a text field, which allows you to provide any other information relating to your notice.

5. Remarks (if any):

Figure 6.11 – Part II - Item 5

**Part II - Item 6**

6.24 If you are submitting Form 1 on behalf of a director/CEO, you are required to complete item 6.

*Item 6 is to be completed by an individual submitting this notification form on behalf of the Director/CEO*

6. Particulars of Individual submitting this notification form to the Listed Issuer:

(a) Name of Individual:

(b) Designation (if applicable):

(c) Name of entity (if applicable):

Figure 6.12 – Part II - Item 6

Filling up Part III of Form 1

**Part III - Item 1**

6.25 Item 1 is a date field which requires you to select the date of acquisition of, or change in, interest. You should ensure that the selected date is not later than the “Date of notification to Listed Issuer” in item 6 of Part I. It is mandatory to complete item 1.

1. Date of acquisition of or change in interest:

Figure 6.13 – Part II - Item 1

**Part III - Item 2**

6.26 Item 2 is a date field which captures the date on which you became aware of the acquisition of, or change in, interest. If item 2 is blank and you select a date for

“Date of acquisition of or change in interest” (item 1), the date in item 1 will automatically be reflected in item 2.

1. Date of acquisition of or change in interest:  
24-Apr-2012

2. Date on which Director/CEO became aware of the acquisition of, or change in, interest (if different from item 1 above, please specify the date):  
24-Apr-2012

Date selected for item 1 is automatically reflected in item 2, if the date field in item 2 is empty

Figure 6.14 – Part III - Item 2

6.27 You may select a date in item 2 which is different from that in item 1 if the date on which you became aware of the acquisition of, or change in, interest is different from the date of acquisition or change. You should ensure that the date in item 2 is neither earlier than the date in item 1 nor later than the date in item 6 of Part I. It is mandatory to complete item 2.

#### Part III - Item 3

6.28 If the date in item 1 is different from the date in item 2, you should provide an explanation in item 3 of Part III.

3. Explanation (if the date of becoming aware is different from the date of acquisition of, or change in, interest):

Figure 6.15 – Part III - Item 3

#### Part III - Item 4

6.29 Item 4 provides a list of the different types of securities which are the subject of the transaction. You may select more than one checkbox if these types of securities are the subject of the same transaction. If you are giving notice for more than one transaction in the same form, you should add a new Part III transaction. Please refer to paragraph 6.58 for details on adding multiple transactions.

6.30 If you have selected the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the type of securities which are the subject of the transaction. It is mandatory to complete item 4.

4. Type of securities which are the subject of the transaction (*more than one option may be chosen*):

- Ordinary voting shares/units of Listed Issuer
- Other types of shares/units (excluding ordinary voting shares/units) of Listed Issuer
- Rights/Options/Warrants over shares/units of Listed Issuer
- Debentures of Listed Issuer
- Rights/Options over debentures of Listed Issuer
- Contracts over shares of the Listed Issuer which Director/CEO is a party to, or under which he is entitled to a benefit, being contracts under which any person has a right to call for or to make delivery of shares in the Listed Issuer
- Participatory interests made available by Listed Issuer
- Others (*please specify*):

Additional text field generated when the checkbox "Others" is selected.

Figure 6.16 – Part III - Item 4

6.31 Depending on the types of securities selected in item 4, the tables that are generated in item 8 of Part III will vary accordingly. Please refer to paragraphs 6.38 to 6.52 for further details on the tables generated in item 8.

6.32 If you decide to de-select any checkbox in item 4, you should note that the corresponding table that is generated in item 8 and any information that has been previously filled in, in the table, will be deleted. When a checkbox is de-selected, a warning display will appear and you will be asked to confirm if you wish to proceed with the de-selection.

4. Type of securities which are the subject of the transaction (*more than one option may be chosen*):

- Ordinary voting shares/units of Listed Issuer
- Other types of shares/units (excluding ordinary voting shares/units) of Listed Issuer
- Rights/Options/Warrants over shares/units of Listed Issuer
- Debentures of
- Rights/Options
- Contracts over
- entitled to a be  
delivery of sha
- Participatory in
- Others (*please specify*):

or under which he is  
call for or to make

Warning: JavaScript Window - Deleting Table

De-selecting this option will remove the relevant table in Item 8 below. Do you wish to proceed?

Yes No

Figure 6.17 – De-selecting a checkbox in Part III - Item 4

**Part III - Item 5**

6.33 Item 5 requires you to provide details of the securities which are the subject of the transaction (e.g. the number of securities acquired or disposed of, the amount of convertible debentures converted etc). It is mandatory to complete item 5.

5. Number of shares, units, rights, options, warrants, participatory interests and/or principal amount/value of debentures or contracts acquired or disposed of by Director/CEO:

Figure 6.18 – Part III - Item 5

**Part III - Item 6**

6.34 Item 6 requires you to specify the amount of consideration paid or received, if applicable, by you in respect of the acquisition or disposal of, or change in, interest in the securities. If no consideration is paid or received (e.g. the change in interest was due to a corporate action by the Listed Issuer), you should indicate “NA”. It is mandatory to complete item 6.



6. Amount of consideration paid or received by Director/CEO (*excluding brokerage and stamp duties*):

Figure 6.19 – Part III - Item 6

*Part III - Item 7*

6.35 Item 7 requires you to select the circumstance giving rise to the interest or change in interest. You may only select one checkbox in item 7. It is mandatory to complete item 7.

7. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- Securities via market transaction
- Securities via off-market transaction (*e.g. married deals*)
- Securities via physical settlement of derivatives or other securities
- Securities pursuant to rights issue
- Securities via a placement
- Securities following conversion/exercise of rights, options, warrants or other convertibles

Disposal of:

- Securities via market transaction
- Securities via off-market transaction (*e.g. married deals*)

Other circumstances :

- Grant of employee share options/share awards
- Vesting of share awards
- Exercise of employee share options
- Acceptance of take-over offer for Listed Issuer
- Corporate action by Listed Issuer (*please specify*):
- Others (*please specify*):

Figure 6.20 – Part III - Item 7

6.36 If you select the checkbox “Corporate action by Listed Issuer”, an additional mandatory text field will be generated and you are required to provide details of the corporate action undertaken by the Listed Issuer. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Corporate action by Listed Issuer”, the text field and the information that has been previously filled in, will again be visible.

Corporate action by Listed Issuer (*please specify*):

Additional text field generated when the checkbox "Corporate action by Listed Issuer" is selected

Figure 6.21 – Additional text field generated

6.37 If you select the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the circumstances giving rise to your interest or change in interest. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible.

Others (*please specify*):

Additional text field generated when the checkbox "Others" is selected

Figure 6.22 – Additional text field generated

### Part III - Item 8

6.38 The tables generated in item 8 will depend on your selection of the types of securities in item 4 of Part III. It is mandatory to fill in the fields in the tables generated.

#### Table 1

6.39 If your selection in item 4 is “Ordinary voting shares/units of the Listed Issuer”, Table 1, which is a table containing only numeric fields, will be generated. All the fields in the table will show a default value of 0.

Table 1. Change in respect of **ordinary voting shares/units** of Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of ordinary voting shares/units held:	250,000	30,000	280,000
As a percentage of total no. of ordinary voting shares/units: ⓘ	2.5	0.3	2.8
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of ordinary voting shares/units held:	450,000	30,000	480,000
As a percentage of total no. of ordinary voting shares/units: ⓘ	4.5	0.3	4.8

*Editable numeric fields*

All fields are numeric fields. Only numbers and decimals are allowed

This column will automatically aggregate the numbers reflected in the preceding numeric fields in the same row. This column is non-editable.

A validation check will be performed to ensure that the aggregate sum of the percentage of direct interest and deemed interest (in either row) does not exceed 100%.

Figure 6.23 – Table 1 of item 8 (Part III)

6.40 The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

6.41 You will not be allowed to fill in any percentage figure in the field “As a percentage of total no. of ordinary voting shares/units” if the value in the corresponding field in “No. of ordinary voting shares/units held” is 0.

6.42 You should calculate the percentage figure in the fields “As a percentage of total no. of ordinary voting shares/units” by using the following formula:

$$\text{As a percentage of total no. of ordinary voting shares/units} = \frac{\text{Total no. of ordinary voting shares held by director/CEO}}{\text{Total no. of ordinary voting shares(excluding treasury shares)/units of Listed Issuer}}$$

6.43 A validation check will be performed to ensure that the aggregate sum of the percentage figures in the “Direct Interest” and “Deemed Interest” fields does not exceed 100% for each row.

Table 2

6.44 If your selection in item 4 is “Other types of share/units (excluding ordinary voting shares/units) of Listed Issuer”, Table 2 will be generated. You should complete Table 2 if you have an interest in other types of shares/units of the Listed Issuer (e.g. preference shares, cumulative preference shares etc). All the fields are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

**Table 2. Change in respect of other types of shares/units (excluding ordinary voting shares/units) of Listed Issuer**

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of shares/units held:	1,000,000 6% cumulative non-convertible preference shares	-	1,000,000 6% cumulative non-convertible preference shares
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of shares/units held:	1,200,000 6% cumulative non-convertible preference shares	-	1,200,000 6% cumulative non-convertible preference shares

Editable text fields

Figure 6.24 – Table 2 of Part III - Item 8

**Table 3**

6.45 If your selection in item 4 is “Rights/Options/Warrants over shares/units of Listed Issuer”, Table 3 will be generated. All the fields in Table 3 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

**Table 3. Change in respect of rights/options/warrants over shares/units of Listed Issuer**

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options/warrants held:	20,000 rights	10,000 rights	30,000 rights
No. (if known) of shares/units underlying the rights/options/ warrants:	20,000 unissued ordinary voting shares	10,000 unissued ordinary voting shares	30,000 unissued ordinary voting shares
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options/warrants held:	10,000 rights	10,000 rights	20,000 rights
No. (if known) of shares/units underlying the rights/options/ warrants:	10,000 unissued ordinary voting shares	10,000 unissued ordinary voting shares	20,000 unissued ordinary voting shares

Editable text fields.

Figure 6.25 – Table 3 of Part III - Item 8

Table 4

6.46 If your selection in item 4 is “Debentures of Listed Issuer”, Table 4 will be generated. All the fields in Table 4 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 4. Change in respect of debentures of Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal amount of debentures held:	\$1 million of convertible bonds	-	\$1 million of convertible bonds
No. (if known) of shares/units underlying convertible debentures:	-	-	-
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal amount of debentures held:	\$0.8 million of convertible bonds	-	\$0.8 million of convertible bonds
No. (if known) of shares/units underlying convertible debentures:	-	-	-

Figure 6.26 – Table 4 of Part III - Item 8

Table 5

6.47 If your selection in item 4 is “Rights/Options over debentures of Listed Issuer”, Table 5 will be generated. All the fields in Table 5 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 5. Change in respect of rights/options over debentures of Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options held:	0	An option over \$500,000 of debentures	An option over \$500,000 of debentures
Principal amount ( <i>if known</i> ) of debentures underlying the rights/options:	-	\$500,000	\$500,000
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options held:	0	0	0
Principal amount ( <i>if known</i> ) of debentures underlying the rights/options:	-	-	-

Editable text fields

Figure 6.27 – Table 5 of Part III - Item 8

Table 6

6.48 If your selection in item 4 is “Contracts over shares of the Listed Issuer which the Director/CEO is a party to, or under which he is entitled to a benefit, being contracts under which any person has a right to call for or to make delivery of shares in the Listed Issuer”, Table 6 will be generated.

6.49 All the fields in Table 6 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 6. Change in respect of contracts over shares of the Listed Issuer which the Director/CEO is a party to, or under which he is entitled to a benefit, being contracts under which any person has a right to call for or to make delivery of shares in the Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal value of contracts held:	0	0	0
No. (if known) of shares underlying the contracts:	-	-	-
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal value of contracts held:	\$20,000	0	\$20,000
No. (if known) of shares underlying the contracts:	400,000 unissued ordinary voting shares	-	400,000 unissued ordinary voting shares

Editable text fields

Figure 6.28 – Table 6 of Part III - Item 8

**Table 7**

6.50 If your selection in item 4 is “Participatory interests made available by Listed Issuer”, Table 7 will be generated. The requirement to disclose an interest in such participatory interests only applies to a director of a listed company which is incorporated in Singapore; it does not apply to a Listed Issuer which is a foreign corporation, BT or REIT.

6.51 All the fields in Table 7 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 7. Participatory interests made available by Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of participatory interests held:	50 units of an employee benefit scheme	-	50 units of an employee benefit scheme
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of participatory interests held:	60 units of an employee benefit scheme	-	60 units of an employee benefit scheme

Editable text fields

Figure 6.29 – Table 7 of Part III - Item 8

**Table 8**

6.52 If your selection in item 4 is “Others”, Table 8 will be generated. You should provide a description of the type of securities in which you have an interest or where there is a change in interest. All the fields in Table 8 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 8. Others

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Details of securities held: <input type="text"/>			
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Details of securities held: <input type="text"/>			

Editable text fields

Figure 6.30 – Table 8 of Part III - Item 8

**Part III - Items 9 and 10**

6.53 Item 9 requires you to provide details of the circumstances giving rise to your deemed interests if you have disclosed such interests in securities in item 8. You may include attachments or charts in item 10 to illustrate how the deemed interests arise. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

9. Circumstances giving rise to deemed interests (*if the interest is such*):  
 [You may attach a chart(s) in item 10 to illustrate how the Director/CEO's deemed interest, as set out in item 8 tables 1 to 8, arises]

Figure 6.31 – Part III - Item 9



*Part III - Item 11*

6.54 If you are submitting a Form 1 to amend an earlier Form 1 which had been disseminated by the Listed Issuer through SGXNet, you are required to complete the three fields in item 11.

11. If this is an <b>amendment</b> of an earlier notification, please provide:
(a) 5-digit SGXNET announcement number of the <b>first</b> notification which was announced on SGXNET ( <i>the "Initial Announcement"</i> ):
<input type="text"/>
(b) Date of the Initial Announcement:
<input type="text"/>
(c) 15-digit transaction reference number of the relevant transaction in the Form 1 which was attached in the Initial Announcement:
<input type="text"/>

Figure 6.32 – Part III - Item 11

6.55 The information required to be provided in item 11 is in respect of the initial Form 1 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 1 (e.g. the reasons for the amendments), you may do so by filling in such details in item 12 (please refer to paragraph 6.56) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

*Part III - Item 12*

6.56 Item 12 is a text field, which allows you to provide any other information relating to your notice.

12. Remarks ( <i>if any</i> ):
<input type="text"/>

Figure 6.33 – Part III - Item 12

*Part III - Item 13*

6.57 If you are submitting Form 1 on behalf of the director/CEO, you are required to complete item 13.

*Item 13 is to be completed by an individual submitting this notification form on behalf of the Director/CEO.*

13. Particulars of Individual submitting this notification form to the Listed Issuer:

(a) Name of Individual:

(b) Designation (if applicable):

(c) Name of entity (if applicable):

Figure 6.34 – Item 13 (Part III)

Adding/deleting multiple transactions

6.58 You may give notice of more than one transaction in the same Form 1 under Part III. To do so, you should click on . Please refer to paragraphs 5.26 to 5.29 for details on adding and deleting multiple transactions.

**Additional transaction (Transaction "B", "C", etc) by the same Director/CEO where the information in Part I is the same for the additional transaction**

Figure 6.35 – Adding transactions

## **7 Specific Guidance for substantial shareholder(s)/unitholder(s) to give notice using Form 3**

### Persons required to give notice using Form 3

7.1 You should only use Form 3 to give notice if you are a:

- (a) a substantial shareholder of a listed company/corporation;
- (b) a substantial unitholder of a listed BT; or
- (c) a substantial unitholder of a listed REIT,

who has incurred a notifiable obligation under section 135, 136, 137, 137J (as applicable to sections 135, 136 and 137) or 137U (as applicable to sections 135, 136 and 137) of the SFA.

7.2 If you have been authorised by a substantial shareholder/unitholder to give notice on his behalf, you should fill up Form 3 based on the information that has been provided to you by the substantial shareholder/unitholder. You should maintain records of the information furnished to you.

### Timing of notification

7.3 You must send the completed Form 3 and Form C via an electronic medium (e.g. e-mail), to the Listed Issuer within 2 business days of your becoming aware:

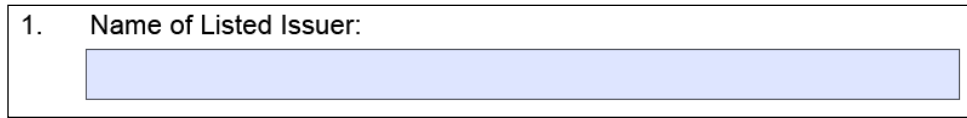
- (a) that you are a substantial shareholder/unitholder;
- (b) of a change in percentage level of your interest in the Listed Issuer while still remaining as a substantial shareholder/unitholder; or
- (c) that you have ceased to be a substantial shareholder/unitholder.

### Filling up Part I of Form 3

7.4 Part I captures general details of your notice. It is mandatory to fill up all the fields in Part I.

#### *Part I - Item 1*

7.5 Item 1 requires you to specify the name of the Listed Issuer. You should provide the full name of the Listed Issuer which should be the same as that in the UEN or the corporation number.

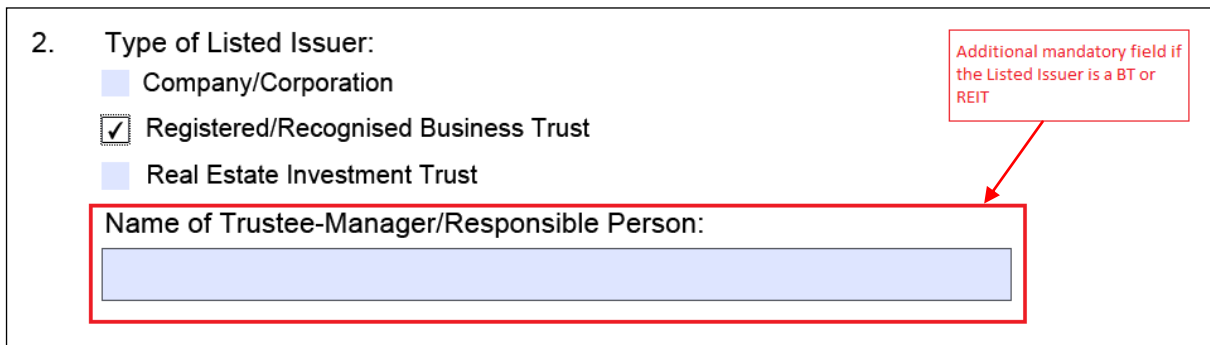


1. Name of Listed Issuer:

Figure 7.1 – Part I - Item 1

*Part I - Item 2*

7.6 You may only select one checkbox in item 2. If you have selected the checkbox for “Registered/Recognised Business Trust” or “Real Estate Investment Trust”, an additional data field “Name of Trustee-Manager/Responsible Person” will be displayed. You should provide the full name of the trustee-manager/responsible person which should be the same as that in the UEN or the corporation number.



2. Type of Listed Issuer:

Company/Corporation

Registered/Recognised Business Trust

Real Estate Investment Trust

Name of Trustee-Manager/Responsible Person:

Figure 7.2 – Part I - Item 2

7.7 If, after selecting the checkbox for either “Registered/Recognised Business Trust” or “Real Estate Investment Trust”, and you change your selection to the checkbox “Company/Corporation”, the field “Name of Trustee-Manager/Responsible Person” will be hidden. Any data that had been filled in previously will still be retained and will be visible if you change the selection back to either “Registered/Recognised Business Trust” or “Real Estate Investment Trust”.

*Part I - Item 3*

7.8 You may only select one checkbox in item 3 which requires you to specify if there is more than one substantial shareholder/unitholder giving notice in the same notification form. Depending on your selection of the checkboxes “Yes” or “No”, either Part II or Parts III and IV of Form 3 will be displayed.

3. Is more than one Substantial Shareholder/Unitholder giving notice in this form?

No (Please proceed to complete Part II) ← Part II will only be generated if No is selected

Yes (Please proceed to complete Parts III & IV) ← Parts III and IV will only be generated if Yes is selected

Figure 7.3 – Part I - Item 3

7.9 If you decide to change your selection in item 3, you should note that any information that has been filled in previously for (i) Part II or (ii) Parts III and IV, that was displayed, will be deleted. You will be asked to confirm if you wish to proceed before the changes in the notification form take effect.

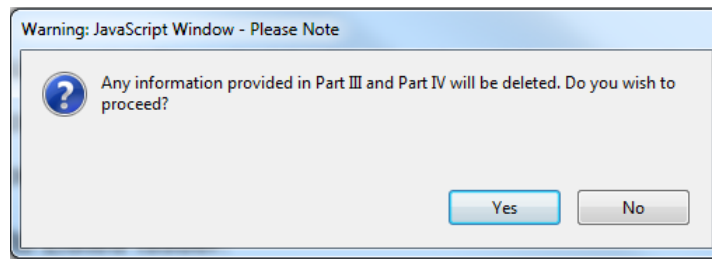


Figure 7.4 – Warning display when user changes selection in item 3

#### Part I - Item 4

7.10 Item 4 is a date field which requires you to select the date on which the notification form will be submitted to the Listed Issuer.

4. Date of notification to Listed Issuer:

Figure 7.5 – Part I - Item 4

#### Filling up Part II of Form 3

7.11 You should fill in Part II of Form 3 only if you are a single substantial shareholder/unitholder giving notice of one or more transactions.

#### General – Items 1 and 2

7.12 Item 1 requires you to key in your name, which should be the same as that in your NRIC, foreign identification, or passport (if you are an individual); or the UEN or the corporation number (if the substantial shareholder/unitholder is an entity). It is mandatory for you to complete item 1.

1. Name of Substantial Shareholder/Unitholder: <input type="text"/>
--

Figure 7.6 – Part II - Item 1

7.13 You may only select one check box in item 2, which requires you to specify if you are a fund manager or are deemed interested in the securities of the Listed Issuer held solely through fund manager(s) (e.g. if you are deemed to have an interest in the securities held by your subsidiary which is a fund manager). It is mandatory for you to complete item 2.

2. Is Substantial Shareholder/Unitholder a fund manager or a person whose interest in the securities of the Listed Issuer are held solely through fund manager(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No
---

Figure 7.7 – Part II - Item 2

7.14 The subsequent items in Part II of Form 3 are specific to each transaction, beginning with Transaction A.

*Part II (Transaction A) - Item 1*

7.15 You may only select one checkbox in item 1 of Transaction A, which requires you to specify the type of notice being given.


<b>Transaction A</b> 
1. Notification in respect of: <input type="checkbox"/> Becoming a Substantial Shareholder/Unitholder <input type="checkbox"/> Change in the percentage level of interest while still remaining a Substantial Shareholder/Unitholder <input type="checkbox"/> Ceasing to be a Substantial Shareholder/Unitholder

Figure 7.8 – Part II (Transaction A) - Item 1

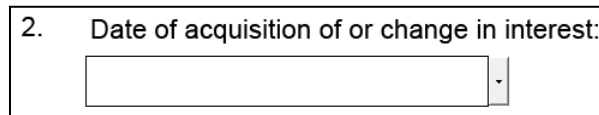
7.16 You should select the checkbox:

- (a) “Becoming a Substantial Shareholder/Unitholder” if you are giving notice of your substantial shareholding/unitholding interest (i.e. your interest in voting securities of the Listed Issuer has reached 5% or more);
- (b) “Change in the percentage level of interest while still remaining a Substantial Shareholder/Unitholder” if you are giving notice of a change in your substantial shareholding/unitholding interest (e.g. your interest in voting securities of the Listed Issuer has changed from 5.8% to 6.1%);

- (c) “Ceasing to be a Substantial Shareholder/Unitholder” if you are giving notice of a cessation of your substantial shareholding/unitholder interest (i.e. your interest in voting securities of the Listed Issuer has fallen below 5%).

*Part II (Transaction A) - Item 2*

7.17 Item 2 is a date field which requires you to select the date of acquisition of, or change in, interest. You should ensure that the selected date is not later than the “Date of notification to Listed Issuer” in item 4 of Part I. It is mandatory for you to complete item 2.



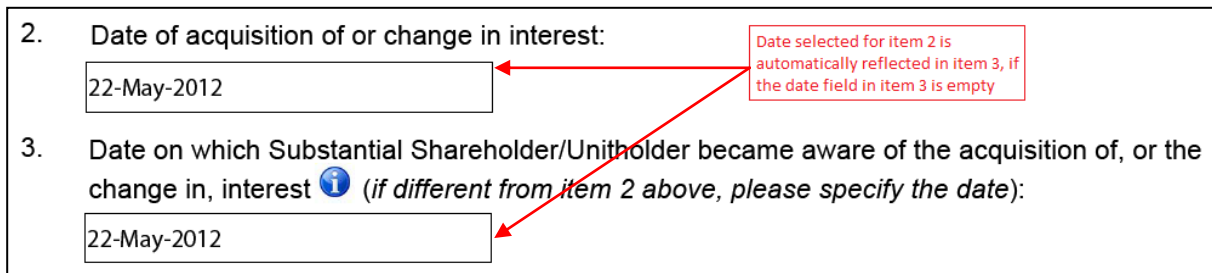
2. Date of acquisition of or change in interest:

[Empty date field with dropdown arrow]

Figure 7.9 – Part II (Transaction A) - Item 2

*Part II (Transaction A) - Item 3*

7.18 Item 3 is a date field which captures the date on which you became aware of the acquisition of, or change in, interest. If item 3 is blank and you select a date for “Date of acquisition of or change in interest” (item 2), the date in item 2 will automatically be reflected in item 3.



2. Date of acquisition of or change in interest:

22-May-2012

3. Date on which Substantial Shareholder/Unitholder became aware of the acquisition of, or the change in, interest ⓘ (if different from item 2 above, please specify the date):

22-May-2012

Date selected for item 2 is automatically reflected in item 3, if the date field in item 3 is empty

Figure 7.10 – Part II (Transaction A) – Items 2 and 3

7.19 You may select a date in item 3 which is different from that in item 2 if the date on which you became aware of the acquisition of, or change in, interest is different from the date of acquisition or change. You should ensure that the date in item 3 is neither earlier than the date in item 2 of this Part nor later than the date in item 4 of Part I. It is mandatory to complete item 3.

*Part II (Transaction A) - Item 4*

7.20 If the date in item 2 is different from the date in item 3, you should provide an explanation in item 4 of Part II (Transaction A).

4. Explanation (if the date of becoming aware is different from the date of acquisition of, or the change in, interest):

Figure 7.11 – Part II (Transaction A) - Item 4

**Part II (Transaction A) - Item 5**

7.21 Item 5 provides a list of the different types of securities which are the subject of the transaction. You may select more than one checkbox if these types of securities are the subject of the same transaction. If you are giving notice for more than one transaction in the same form, you should add new Part II transaction. Please refer to paragraph 7.38 for details on adding multiple transactions.

7.22 If you have selected the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the type of securities which is the subject of the transaction. When you change your selection by de-selecting the checkbox “Others”, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible. It is mandatory to complete item 5.

5. Type of securities which are the subject of the transaction (more than one option may be chosen):

- Voting shares/units
- Rights/Options/Warrants over voting shares/units
- Convertible debentures over voting shares/units (conversion price known)
- Others (please specify):

Additional text field generated when the checkbox "Others" is selected

Figure 7.12 – Part II (Transaction A) - Item 5

**Part II (Transaction A) - Item 6**

7.23 Item 6 requires you to provide details of the securities which are the subject of the transaction (e.g. the number of securities acquired or disposed of, the amount of convertible debentures converted etc).



6. Number of shares, units, rights, options, warrants and/or principal amount of convertible debentures acquired or disposed of by Substantial Shareholder/Unitholder:

Figure 7.13 – Part II (Transaction A) - Item 6

*Part II (Transaction A) - Item 7*

7.24 Item 7 requires you to specify the amount of consideration paid or received, if applicable, by you in respect of the acquisition or disposal of, or change in, interest in the securities. If no consideration is paid or received (e.g. the change in interest was due to a corporate action by the Listed Issuer), you should indicate “NA”.

7. Amount of consideration paid or received by Substantial Shareholder/Unitholder (excluding brokerage and stamp duties):

Figure 7.14 – Part II (Transaction A) - Item 7

*Part II (Transaction A) - Item 8*

7.25 Item 8 requires you to select the circumstances giving rise to the interest or change in interest. You may only select one checkbox in item 8. It is mandatory to complete item 8.

8. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- Securities via market transaction
- Securities via off-market transaction (e.g. married deals)
- Securities via physical settlement of derivatives or other securities
- Securities pursuant to rights issue
- Securities via a placement
- Securities following conversion/exercise of rights, options, warrants or other convertibles

Disposal of:

- Securities via market transaction
- Securities via off-market transaction (e.g. married deals)

Other circumstances:

- Acceptance of take-over offer for the Listed Issuer
- Corporate action by the Listed Issuer which Substantial Shareholder/Unitholder did not participate in (please specify):
- Others (please specify):

Figure 7.15 – Part II (Transaction A) - Item 8

7.26 If you select the checkbox “Corporate action by Listed Issuer which Substantial Shareholder/Unitholder did not participate in”, an additional mandatory text field will be generated and you are required to provide details of the corporate action undertaken by the Listed Issuer. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Corporate action by Listed Issuer which Substantial Shareholder/Unitholder did not participate in”, the text field and the information that has been previously filled in, will again be visible.

Corporate action by the Listed Issuer which Substantial Shareholders/Unitholders did not participate in (please specify):

Additional text field generated when the checkbox is selected

Figure 7.16 – Additional text field generated

7.27 If you select the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the circumstances giving rise to

your interest or change in interest. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible.

Figure 7.17 – Additional text field generated

**Part II (Transaction A) - Item 9**

7.28 All the fields in item 9 are numeric fields and will show a default value of 0. It is mandatory to complete item 9.

9. Quantum of total voting shares/units (including voting shares/units underlying rights/options/warrants/convertible debentures {conversion price known}) held by Substantial Shareholder/ Unitholder before and after the transaction:

Immediately before the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares/units held and/or underlying the rights/options/warrants/ convertible debentures:	0	0	0
As a percentage of total no. of voting shares/units: ⓘ	0	0	0
Immediately after the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares/units held and/or underlying the rights/options/warrants/ convertible debentures:	0	0	0
As a percentage of total no. of voting shares/units: ⓘ	0	0	0

**Editable numeric fields** (points to Direct and Deemed Interest columns)

**This column will automatically aggregate the numbers reflected in the preceding numeric fields in the same row. This column is non-editable** (points to Total column)

**A validation check will be performed to ensure that the aggregate sum of the percentage of direct interest and deemed interest (in either row) does not exceed 100%.** (points to percentage rows)

Figure 7.18 – Part II (Transaction A) - Item 9

7.29 The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

7.30 You will not be allowed to fill in any percentage figure in the field “As a percentage of total no. of voting shares/units”, if the value in the corresponding field

“No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures” is 0.

7.31 You should calculate the percentage figure in the fields “As a percentage of total no. of voting shares/units” by using the following formula:


$$\text{As a percentage of total no. of voting shares/units} = \frac{\text{No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures in which the substantial shareholder/unitholder has an interest}}{\text{Total no. of voting shares(excluding treasury shares)/units of Listed Issuer}}$$

7.32 A validation check will be performed to ensure that the aggregate sum of the percentage figures in the “Direct Interest” and “Deemed Interest” fields does not exceed 100% for each row.

*Part II (Transaction A) - Items 10 and 11*

7.33 Item 10 requires you to provide details of the circumstances giving rise to your deemed interests if you have disclosed such interests in voting shares/units in item 9. You may include attachments or charts in item 11 to illustrate how the deemed interests arise. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

10. Circumstances giving rise to deemed interests *(if the interest is such):*  
*[You may attach a chart in item 11 to illustrate how the Substantial Shareholder/Unitholder's deemed interest arises]*

11. Attachments *(if any):* 




Figure 7.19 – Part II (Transaction A) - Items 10 and 11

*Part II (Transaction A) - Item 12*

7.34 If you are submitting a Form 3 to amend an earlier Form 3 which had been disseminated by the Listed Issuer through SGXNet, you are required to complete the three fields in item 12.

12. If this is an **amendment** of an earlier notification, please provide:

(a) 5-digit SGXNET announcement number of the **first** notification which was announced on SGXNET (the "Initial Announcement"):

(b) Date of the Initial Announcement:

(c) 15-digit transaction reference number of the relevant transaction in the Form 3 which was attached in the Initial Announcement:

Figure 7.20 – Part II (Transaction A) - Item 12

7.35 The information required to be provided in item 12 is in respect of the initial Form 3 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 3 (e.g. the reasons for the amendments), you may do so by filling in such details in item 13 (please refer to paragraph 7.36) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

*Part II (Transaction A) - Item 13*

7.36 Item 13 is a text field, which allows you to provide any other information relating to your notice.

13. Remarks (if any):

Figure 7.21 – Part II (Transaction A) - Item 13

*Part II (Transaction A) - Item 14*

7.37 If you are submitting Form 3 on behalf of a substantial shareholder/unitholder, you are required to complete item 14.

*Item 14 is to be completed by an individual submitting this notification form on behalf of the Substantial Shareholder/Unitholder.*

14. Particulars of Individual submitting this notification form to the Listed Issuer:

(a) Name of Individual:

(b) Designation (if applicable):

(c) Name of entity (if applicable):

Figure 7.22 – Part II (Transaction A) - Item 14

Adding/deleting multiple transactions

7.38 You may give notice of more than one transaction in the same Form 3 under Part II. To do so, you should select . Please refer to paragraphs 5.26 to 5.29 for details on adding and deleting multiple transactions.

**Additional transaction (Transaction "B", "C", etc) by the same Substantial Shareholder/ Unitholder where the information in Part I is the same for the additional transaction**

Figure 7.23 – Adding transactions

### Filling up Part III of Form 3

7.39 You should fill in Part III of Form 3 only if there are multiple substantial shareholders/unitholders giving notice using the same Form 3. You are required to provide details of these substantial shareholders/unitholders.

7.40 The items in Part III of Form 3 are specific to each substantial shareholder/unitholder, beginning with Substantial Shareholder/Unitholder A.

#### *Part III (Substantial Shareholder/Unitholder A) - Item 1*

7.41 Item 1 requires you to key in your name, which should be the same as that in your NRIC, foreign identification, or passport (if you are an individual); or the UEN or corporation number (if the substantial shareholder/unitholder is an entity). It is mandatory for you to complete item 1.

1. Name of Substantial Shareholder/Unitholder: <input type="text"/>
--

Figure 7.24 – Part III (Substantial Shareholder/Unitholder A) - Item 1

#### *Part III (Substantial Shareholder/Unitholder A) - Item 2*

7.42 You may only select one check box in item 2, which requires you to specify if you are a fund manager or are deemed interested in the securities of the Listed Issuer held solely through fund manager(s) (e.g. if you are deemed to have an interest in the securities held by your subsidiary which is a fund manager). It is mandatory for you to complete item 2.

2. Is Substantial Shareholder/Unitholder a fund manager or a person whose interest in the securities of the Listed Issuer are held solely through fund manager(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No
---

Figure 7.25 – Part III (Substantial Shareholder/Unitholder A) - Item 2

#### *Part III (Substantial Shareholder/Unitholder A) - Item 3*

7.43 You may only select one checkbox in item 3, which requires you to specify the type of notice being given.

3. Notification in respect of:
<input type="checkbox"/> Becoming a Substantial Shareholder/Unitholder
<input type="checkbox"/> Change in the percentage level of interest while still remaining a Substantial Shareholder/Unitholder
<input type="checkbox"/> Ceasing to be a Substantial Shareholder/Unitholder

Figure 7.26 – Part III (Substantial Shareholder/Unitholder A) - Item 3

7.44 You should select the checkbox:

- (a) “Becoming a Substantial Shareholder/Unitholder” if you are giving notice of your substantial shareholding/unitholding interest (i.e. your interest in voting securities of the Listed Issuer has reached 5% or more);
- (b) “Change in the percentage level of interest while still remaining a Substantial Shareholder/Unitholder” if you are giving notice of a change in your substantial shareholding/unitholding interest (e.g. your interest in voting securities of the Listed Issuer has changed from 5.8% to 6.1%);
- (c) “Ceasing to be a Substantial Shareholder/Unitholder” if you are giving notice of a cessation of your substantial shareholding/unitholder interest (i.e. your interest in voting securities of the Listed Issuer has fallen below 5%).

*Part III (Substantial Shareholder/Unitholder A) - Item 4*

7.45 Item 4 is a date field which requires you to select the date of acquisition of, or change in, interest. You should ensure that the selected date is not later than the “Date of notification to Listed Issuer” in item 4 of Part I. It is mandatory for you to complete item 4.

4. Date of acquisition of or change in interest:
<input type="text"/>

Figure 7.27 – Part III (Substantial Shareholder/Unitholder A) - Item 4

*Part III (Substantial Shareholder/Unitholder A) - Item 5*

7.46 Item 5 is a date field which captures the date on which you became aware of the acquisition of, or change in, interest. If item 5 is blank and you select a date for “Date of acquisition of or change in interest” (item 4), the date in item 4 will automatically be reflected in item 5.



4. Date of acquisition of or change in interest:  
13-Jun-2012

5. Date on which Substantial Shareholder/Unitholder became aware of the acquisition of, or the change in, interest ⓘ (if different from item 4 above, please specify the date):  
13-Jun-2012

Date selected for item 4 is automatically reflected in item 5, if the date field in item 5 is blank.

Figure 7.28 – Part III (Substantial Shareholder/Unitholder A) – Items 4 and 5

7.47 You may select a date in item 5 which is different from that in item 4 if the date on which you became aware of the acquisition of, or change in, interest is different from the date of acquisition or change. You should ensure that the date in item 5 is neither earlier than the date in item 4 of this Part nor later than the date in item 4 of Part I. It is mandatory to complete item 5.

*Part III (Substantial Shareholder/Unitholder A) - Item 6*

7.48 If the date in item 4 is different from the date in item 5, you should provide an explanation in item 6.

6. Explanation (if the date of becoming aware is different from the date of acquisition of, or the change in, interest):

Figure 7.29 – Part III (Substantial Shareholder/Unitholder A) - Item 6

*Part III (Substantial Shareholder/Unitholder A) - Item 7*

7.49 All the fields in item 7 are numeric fields and will show a default value of 0.

7. Quantum of total voting shares/units (including voting shares/units underlying rights/options/warrants/convertible debentures (conversion price known)) held by Substantial Shareholder/Unitholder before and after the transaction:

Immediately before the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures:	10,000	1,000	11,000
As a percentage of total no. of voting shares/units: ⓘ	10	1	11
Immediately after the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures :	20,000	1	20,001
As a percentage of total no. of voting shares/units: ⓘ	20	1	20

A validation check will be performed to ensure that the aggregate sum of the percentage of direct interest and deemed interest (in either row) does not exceed 100%.

Editable numeric fields

This column will automatically aggregate the numbers reflected in the preceding numeric fields in the same row. This column is non-editable.

Figure 7.30 – Part III (Substantial Shareholder/Unitholder A) - Item 7

7.50 The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

7.51 You will not be allowed to fill in any percentage figure in the field “As a percentage of total no. of voting shares/units”, if the value in the corresponding field “No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures” is 0.

7.52 You should calculate the percentage figure in the fields “As a percentage of total no. of voting shares/units” by using the following formula:

$$\text{As a percentage of total no. of voting shares/units} = \frac{\text{No. of voting shares/units held and/or underlying the rights/options/warrants/convertible debentures in which the substantial shareholder/unitholder has an interest}}{\text{Total no. of voting shares(excluding treasury shares)/units of Listed Issuer}}$$

7.53 A validation check will be performed to ensure that the aggregate sum of the percentage figures in the “Direct Interest” and “Deemed Interest” fields does not exceed 100% for each row.

**Part III (Substantial Shareholder/Unitholder A) - Item 8**

7.54 Item 8 requires you to provide details of the circumstances giving rise to your deemed interests if you have disclosed such interests in voting shares/units in item 7. You may include attachments or charts in item 10 to illustrate how the deemed interests arise. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

8. Circumstances giving rise to deemed interests (if the interest is such):  
[You may attach a chart in item 10 to illustrate how the Substantial Shareholder/Unitholder's deemed interest arises]



Figure 7.31 – Part III (Substantial Shareholder/Unitholder A) - Item 8

**Part III (Substantial Shareholder/Unitholder A) – Items 9 and 10**

7.55 If you will be making a submission for more than one substantial shareholder/unitholder as set out in paragraph 7.59, please complete item 9 on details of the relationship between the substantial shareholders/unitholders giving notice in this same form (e.g. the shareholding structure between the substantial shareholders). You may include attachments or charts in item 10 to illustrate the relationship between the substantial shareholders/unitholders. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

9. Relationship between the Substantial Shareholders/Unitholders giving notice in this form:  
[You may attach a chart in item 10 to show the relationship between the Substantial Shareholders/Unitholders]



10. Attachments (if any): 



(The total file size for all attachment(s) should not exceed 1MB.)

Figure 7.32 – Part III (Substantial Shareholder/Unitholder A) – Items 9 and 10

**Part III (Substantial Shareholder/Unitholder A) - Item 11**

7.56 If you are submitting a Form 3 to amend an earlier Form 3 which had been disseminated by the Listed Issuer through SGXNet, you are required to complete the three fields in item 11.

11. If this is an **amendment** of an earlier notification, please provide:

(a) 5-digit SGXNET announcement number of the **first** notification which was announced on SGXNET (*the "Initial Announcement"*):

(b) Date of the Initial Announcement:

(c) 15-digit transaction reference number of the relevant transaction in the Form 3 which was attached in the Initial Announcement:

Figure 7.33 – Part III (Substantial Shareholder/Unitholder A) - Item 11

7.57 The information required to be provided in item 11 is in respect of the initial Form 3 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 3 (e.g. the reasons for the amendments), you may do so by filling in such details in item 12 (please refer to paragraph 7.58) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

*Part III (Substantial Shareholder/Unitholder A) - Item 12*

7.58 Item 12 is a text field, which allows you to provide any other information relating to your notice.

12. Remarks (*if any*):

Figure 7.34 – Part III (Substantial Shareholder/Unitholder A) - Item 12

Adding/deleting multiple substantial shareholders/unitholders

7.59 You may give notice for more than one substantial shareholder/unitholder in the same Form 3 under Part III. To do so, you should select . Please refer to paragraphs 5.30 to 5.32 for details on adding and deleting multiple substantial shareholder/unitholders.

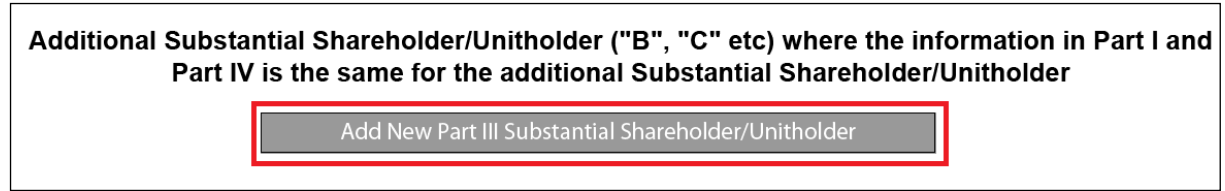


Figure 7.35 – Adding substantial shareholders/unitholders

### Filling up Part IV of Form 3

7.60 You should fill in Part IV of Form 3 only if there are multiple substantial shareholders/unitholders giving notice using the same Form 3. You are required to provide details of the transaction which is the subject of the notification, in Part IV.

#### *Part IV - Item 1*

7.61 Item 1 provides a list of the different types of securities which are the subject of the transaction. You may select more than one checkbox if these types of securities are the subject of the same transaction.

7.62 If you have selected the checkbox "Others", an additional mandatory text field will be generated and you are required to provide details of the type of securities which is the subject of the transaction. When you change your selection by de-selecting the checkbox "Others", any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox "Others", the text field and the information that has been previously filled in, will again be visible. It is mandatory to complete item 1.

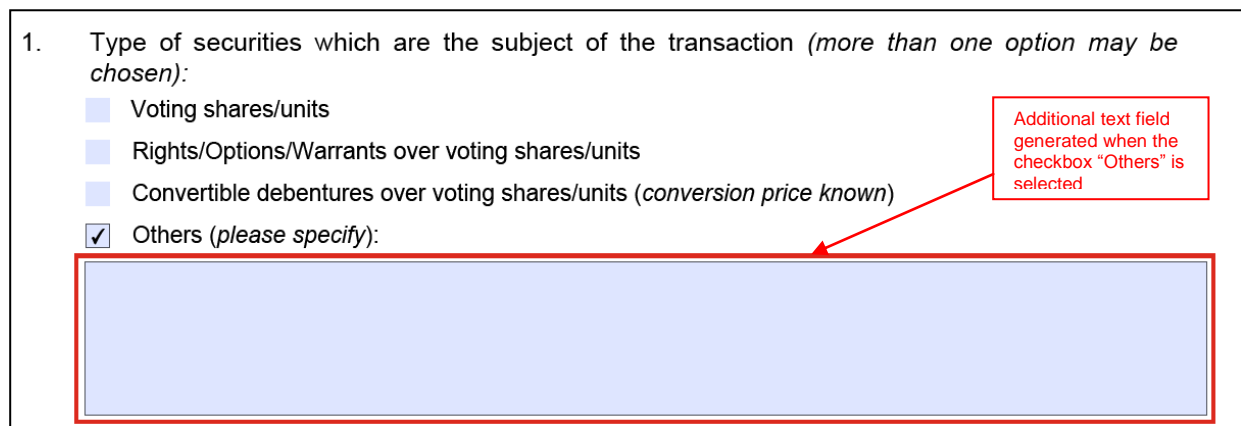



Figure 7.36 – Part IV - Item 1

*Part IV - Item 2*


7.63 Item 2 requires you to provide details of the securities which are the subject of the transaction (e.g. the number of securities acquired or disposed of, the amount of convertible debentures converted etc).

2. Number of shares, units, rights, options, warrants and/or principal amount of convertible debentures acquired or disposed of by Substantial Shareholders/Unitholders: 
--

*Figure 7.37 – Part IV - Item 2*

*Part IV - Item 3*

7.64 Item 3 requires you to specify the amount of consideration paid or received, if applicable, by the substantial shareholders/unitholders in respect of the acquisition or disposal of, or change in, interest in the securities. If no consideration is paid or received (e.g. the change in interest was due to a corporate action by the Listed Issuer), you should indicate “NA”.

3. Amount of consideration paid or received by Substantial Shareholders/Unitholders ( <i>excluding brokerage and stamp duties</i> ): 
---

*Figure 7.38 – Part IV - Item 3*

*Part IV - Item 4*

7.65 Item 4 requires you to select the circumstances giving rise to the substantial shareholders'/unitholders' interests or changes in interests. You may only select one checkbox in item 4. It is mandatory to complete item 4.

4. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- Securities via market transaction
- Securities via off-market transaction (e.g. married deals)
- Securities via physical settlement of derivatives or other securities
- Securities pursuant to rights issue
- Securities via a placement
- Securities following conversion/exercise of rights, options, warrants or other convertibles

Disposal of:

- Securities via market transaction
- Securities via off-market transaction (e.g. married deals)

Other circumstances:

- Acceptance of take-over offer for the Listed Issuer
- Corporate action by the Listed Issuer which Substantial Shareholders/Unitholders did not participate in (please specify):
- Others (please specify):

Figure 7.39 – Part IV - Item 4

7.66 If you select the checkbox “Corporate action by Listed Issuer which Substantial Shareholders/Unitholders did not participate in”, an additional mandatory text field will be generated and you are required to provide details of the corporate action undertaken by the Listed Issuer. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Corporate action by Listed Issuer which Substantial Shareholders/Unitholders did not participate in”, the text field and the information that has been previously filled in, will again be visible.

Corporate action by the Listed Issuer which Substantial Shareholders/Unitholders did not participate in (please specify):

Additional text field generated when the checkbox is selected

Figure 7.40 – Additional text field generated

7.67 If you select the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the circumstances giving rise to the substantial shareholders’/unitholders’ interests or changes in interests. When you

change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible.

Others (please specify):

Additional text field generated when the checkbox "Others" is selected

[Large blue text field]

Figure 7.41 – Additional text field generated

#### Part IV - Item 5

7.68 If you are submitting Form 3 on behalf of substantial shareholders/unitholders, you are required to complete item 5.

Item 5 is to be completed by an individual submitting this notification form on behalf of the Substantial Shareholders/Unitholders.

5. Particulars of Individual submitting this notification form to the Listed Issuer:

(a) Name of Individual:  
[Text field]

(b) Designation (if applicable):  
[Text field]

(c) Name of entity (if applicable):  
[Text field]

Figure 7.42 – Part IV - Item 5



## 8 Specific Guidance for shareholder(s) of unlisted trustee-manager / responsible person to give notice using Form 5

### Persons required to give notice using Form 5

8.1 You should only use Form 5 to give notice if you are :

- (a) a shareholder of an unlisted trustee-manager of a listed BT; or
- (b) a shareholder of an unlisted responsible person of a listed REIT,

who has incurred a notifiable obligation under section 137P or 137ZA of the SFA.

8.2 If you have been authorised by a shareholder of the trustee-manager/responsible person to give notice on his behalf, you should fill up Form 5 based on the information that has been provided to you by the shareholder. You should maintain records of the information furnished to you.

### Timing of notification

8.3 You must send the completed Form 5 and Form C to the trustee manager/responsible person via an electronic medium (e.g. e-mail), within 2 business days of becoming aware that your percentage level of interest in the voting shares of the trustee-manager/responsible person reached, crossed or fell below 15%, 30%, 50% or 75%.

### Filling up Part I of Form 5

8.4 Part I captures general details of your notice. It is mandatory to fill up all the fields in Part I.

#### *Part I - Item 1*

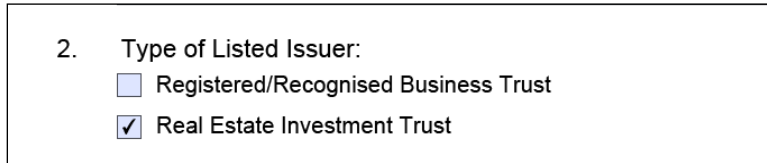
8.5 Item 1 requires you to specify the name of the Listed Issuer. You should provide the full name of the Listed Issuer which should be the same as that in the UEN or the corporation number.

1. Name of Listed Issuer: <input type="text"/>
---

Figure 8.1 – Part I - Item 1

#### *Part I - Item 2*

8.6 You may only select one checkbox in item 2.



2. Type of Listed Issuer:

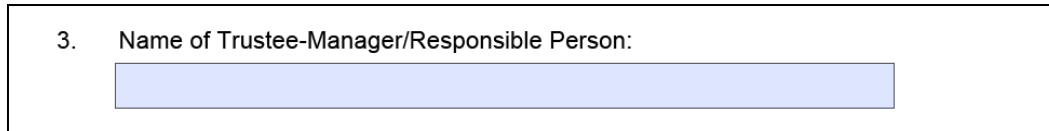
Registered/Recognised Business Trust

Real Estate Investment Trust

Figure 8.2 – Part I - Item 2

*Part I - Item 3*

8.7 You should provide the full name of the trustee-manager of the BT/responsible person for the REIT in item 3 which should be the same as that in the UEN or the corporation number.

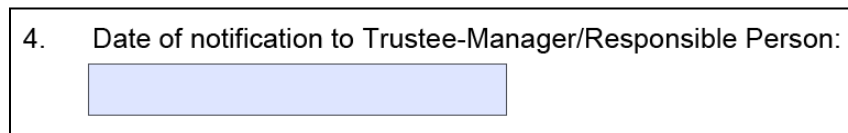


3. Name of Trustee-Manager/Responsible Person:

Figure 8.3 – Part I - Item 3

*Part I - Item 4*

8.8 Item 4 is a date field which requires you to select the date on which the notification form will be submitted to trustee-manager/responsible person.



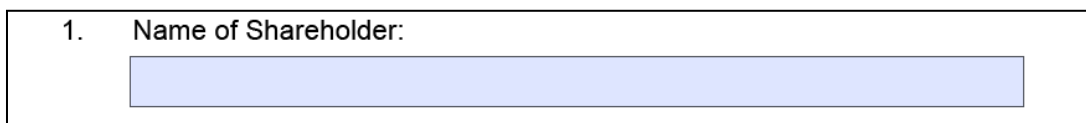
4. Date of notification to Trustee-Manager/Responsible Person:

Figure 8.4 – Part I - Item 4

Filling up Part II of Form 5

*Part II - Item 1*

8.9 Item 1 requires you to key in your name, which should be the same as that in your NRIC, foreign identification, passport (if you are an individual); or UEN or corporation number (if the shareholder is an entity). It is mandatory for you to complete item 1.

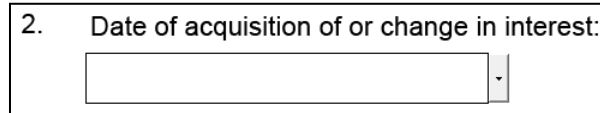


1. Name of Shareholder:

Figure 8.5 – Part II - Item 1

*Part II - Item 2*

8.10 Item 2 is a date field which requires you to select the date of acquisition of, or change in, interest. You should ensure that the selected date is not later than the “Date of notification to Trustee-Manager/Responsible Person” in item 4 of Part I. It is mandatory for you to complete item 2.

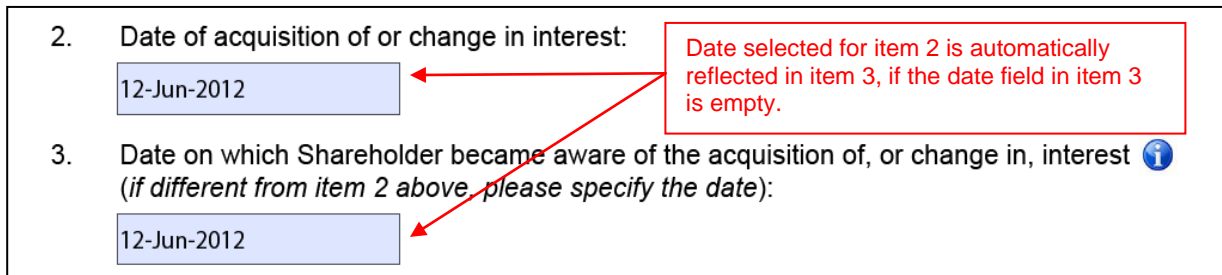


2. Date of acquisition of or change in interest:

Figure 8.6 – Part II - Item 2

*Part II - Item 3*

8.11 Item 3 is a date field which captures the date on which you became aware of the acquisition of, or change in, interest. If item 3 is blank and you select a date for “Date of acquisition of or change in interest” (item 2), the date in item 2 will automatically be reflected in item 3.



2. Date of acquisition of or change in interest:

3. Date on which Shareholder became aware of the acquisition of, or change in, interest (if different from item 2 above, please specify the date):

Date selected for item 2 is automatically reflected in item 3, if the date field in item 3 is empty.

Figure 8.7 – Part II – Items 2 and 3

8.12 You may select a date in item 3 which is different from that in item 2 if the date on which you became aware of the acquisition of, or change in, interest is different from the date of acquisition or change. You should ensure that the date in item 3 is neither earlier than the date in item 2 of this Part nor later than the date in item 4 of Part I. It is mandatory to complete item 3.

*Part II - Item 4*

8.13 If the date in item 2 is different from the date in item 3, you should provide an explanation in item 4.

4. Explanation (if the date of becoming aware is different from the date of acquisition of, or the change in, interest):

Figure 8.8 – Part II - Item 4

Part II - Item 5

8.14 All the fields in item 5 are numeric fields and will show a default value of 0.

5. Quantum of total voting shares (including voting shares underlying rights/options/warrants/convertible debentures {conversion price known}) held by Shareholder before and after the transaction:

Immediately before the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares held and/or underlying the rights/options/warrants/convertible debentures:	10,000	1,000	11,000
As a percentage of total no. of voting shares:	10	1	11
Immediately after the transaction	Direct Interest	Deemed Interest	Total
No. of voting shares held and/or underlying the rights/options/warrants/convertible debentures:	20,000	1,000	21,000
As a percentage of total no. of voting shares:	20	1	21

**Editable numeric fields**

This column will automatically aggregate the numbers reflected in the preceding numeric fields in the same row. This column is non-editable.

A validation check will be performed to ensure that the aggregate sum of the percentage of direct interest and deemed interest (in either row) does not exceed 100%.

Figure 8.9 – Part II - Item 5

8.15 The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

8.16 You will not be allowed to fill in any percentage figure in the field “As a percentage of total no. of voting shares”, if the value in the corresponding field “No. of voting shares held and/or underlying the rights/options/warrants/convertible debentures” is 0.

8.17 You should calculate the percentage figure in the fields “As a percentage of total no. of voting shares” by using the following formula:

$$\text{As a percentage of total no. of voting shares} = \frac{\text{No. of voting shares held and/or underlying the rights/options/warrants/convertible debentures in which the shareholder has an interest}}{\text{Total no. of voting shares(excluding treasury shares) of the trustee-manager/responsible person}}$$

8.18 A validation check will be performed to ensure that the aggregate of the percentage figures in the “Direct Interest” and “Deemed Interest” fields does not exceed 100% for each row.

*Part II - Item 6*

8.19 Item 6 requires you to provide details of the circumstances giving rise to your deemed interests in the trustee-manager/responsible person if you have disclosed such interests in voting shares in item 5. You may include attachments or charts in item 8 to illustrate how the deemed interests arise. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

<p>6. Circumstances giving rise to deemed interests (if the interest is such): [You may attach a chart in item 8 to illustrate how the Shareholder's deemed interest arises]</p> <div style="border: 1px solid black; height: 60px; width: 100%; background-color: #e6f2ff;"></div>
---

Figure 8.10 – Part II - Item 6

*Part II - Items 7 and 8*

8.20 If you will be making a submission for more than one shareholder as set out in paragraph 8.24, please complete item 7 on details of the relationship between the shareholders giving notice in this same form (e.g. the shareholding structure between the shareholders). You may include attachments or charts in item 8 to illustrate the relationship between the shareholders. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

7. Relationship between the Shareholders giving notice in this form:  
[You may attach a chart in item 8 to show the relationship between the Shareholders]



8. Attachments (if any):   
 (The total file size for all attachment(s) should not exceed 1MB.)

Figure 8.11 – Part II - Items 7 and 8

Part II - Item 9

8.21 If you are submitting a Form 5 to amend an earlier Form 5 which had been disseminated by the trustee-manager/responsible person through SGXNet, you are required to complete the three fields in item 9.

9. If this is an **amendment** of an earlier notification, please provide:

(a) 5-digit SGXNET announcement number of the **first** notification which was announced on SGXNET (the "Initial Announcement"):

(b) Date of the Initial Announcement:

(c) 15-digit transaction reference number of the relevant transaction in the Form 5 which was attached in the Initial Announcement:

Figure 8.12 – Part II - Item 9

8.22 The information required to be provided in item 9 is in respect of the initial Form 5 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 5 (e.g. the reasons for the amendments), you may do so by filling in such details in item 10 (please refer to paragraph 8.23) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

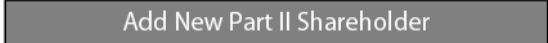
Part II - Item 10

8.23 Item 10 is a text field, which allows you to provide any other information relating to your notice.



Figure 8.13 – Part II - Item 10

### Adding/deleting multiple shareholders

8.24 Where a transaction results in similar notifiable obligations on the part of more than one shareholder, all of these shareholders may give notice using the same Form 5 under Part II. To do so, you should select . Please refer to paragraphs 5.30 to 5.32 for details on adding and deleting multiple shareholders.

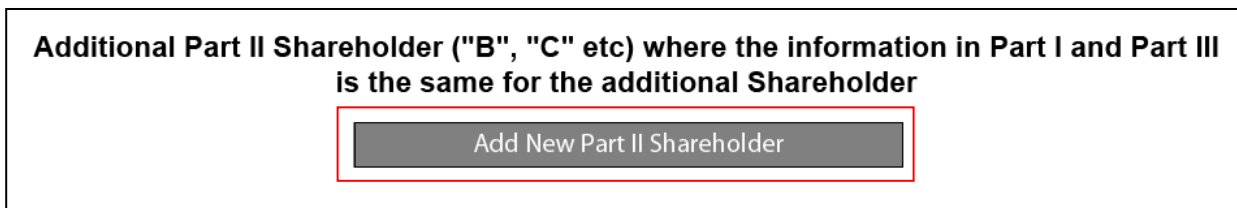


Figure 8.14 – Adding shareholders

### Filling up Part III of Form 5

#### *Part III - Item 1*

8.25 Item 1 provides a list of the different types of securities which are the subject of the transaction. You may select more than one checkbox if these types of securities are the subject of the same transaction.

8.26 If you have selected the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the type of securities which is the subject of the transaction. When you change your selection by de-selecting the checkbox “Others”, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible. It is mandatory to complete item 1.

1. Type of securities which are the subject of the transaction (*more than one option may be chosen*):

- Voting shares
- Rights/Options/Warrants over voting shares
- Convertible debentures over voting shares (*conversion price known*,
- Others (*please specify*):

Additional text field generated when the checkbox "Others" is selected.

Figure 8.15 – Part III - Item 1

### Part III - Item 2

8.27 Item 2 requires you to provide details of the securities which are the subject of the transaction (e.g. the number of securities acquired or disposed of, the amount of convertible debentures converted etc).

2. Number of shares, rights, options, warrants, and/or principal amount of convertible debentures acquired or disposed by Shareholder(s):

Figure 8.16 – Part III - Item 2

### Part III - Item 3

8.28 Item 3 requires you to specify the amount of consideration paid or received, if applicable, by you in respect of the acquisition or disposal of, or change in, interest in the securities. If no consideration is paid or received (e.g. the change in interest was due to a corporate action by the trustee-manager/responsible person), you should indicate "NA".

3. Amount of consideration paid or received by Shareholder(s) (*excluding brokerage and stamp duties*):

Figure 8.17 – Part III - Item 3

### Part III - Item 4

8.29 Item 4 requires you to provide details of the circumstances giving rise to your interest or change in interest in the securities of the trustee-manager/responsible person. It is mandatory to complete item 4.



4. Circumstance giving rise to the interest or change in interest (*please specify*):




Figure 8.18 – Part III - Item 4


**Part III - Item 5**

8.30 If you are submitting Form 5 on behalf of a shareholder of the trustee-manager/responsible person, you are required to complete item 5.


*Item 5 is to be completed by an individual submitting this notification form on behalf of the Shareholder(s)*

5. Particulars of Individual submitting this notification form to the Trustee-Manager/Responsible Person:

(a) Name of Individual:



(b) Designation (*if applicable*):



(c) Name of entity (*if applicable*):




Figure 8.19 – Part III - Item 5

## 9 Specific Guidance for trustee-manager / responsible person to give notice using Form 6

### Persons required to give notice using Form 6

9.1 You should only use Form 6 to give notice if you are:

- (a) a trustee-manager of a listed BT; or
- (b) a responsible person of a listed REIT,

who has incurred a notifiable obligation under section 137R(1)(a) or 137ZC(1)(a) of the SFA.

9.2 If you have been authorised by a trustee-manager/responsible person to give notice on its behalf, you should fill up Form 6 based on the information that has been provided to you by the trustee-manager/responsible person. You should maintain records of the information furnished to you.

### Timing of notification

9.3 You are required to attach the completed Form 6 and Form C in the SGXNet Announcement Template - Disclosure of Interest/Changes in Interest, for the purpose of disseminating the information in Form 6, within 1 business day of your becoming aware of the acquisition, or disposal, of the trustee-manager's or responsible person's interest in the BT or the REIT, respectively.

### Filling up Part I of Form 6

9.4 Part I captures general details of your notice. It is mandatory to fill up all the fields in Part I.

#### *Part I - Item 1*

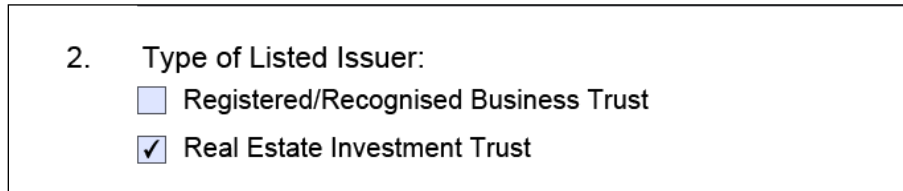
9.5 Item 1 requires you to specify the name of the Listed Issuer. You should provide the full name of the Listed Issuer which should be the same as that in the UEN or the corporation number.

1. Name of Listed Issuer: <input type="text"/>
---

Figure 9.1 – Part I - Item 1

*Part I - Item 2*

9.6 You may only select one checkbox in item 2.



2. Type of Listed Issuer:

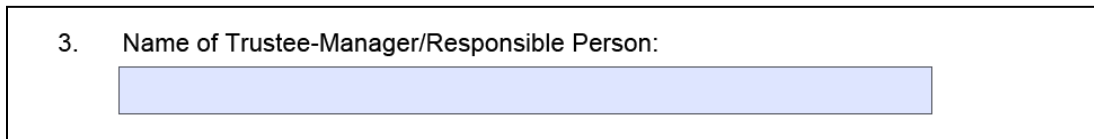
Registered/Recognised Business Trust

Real Estate Investment Trust

*Figure 9.2 – Part I - Item 2*

*Part I - Item 3*

9.7 You should provide the full name of the trustee-manager of the BT/responsible person for the REIT in item 3 which should be the same as that in the UEN or the corporation number.

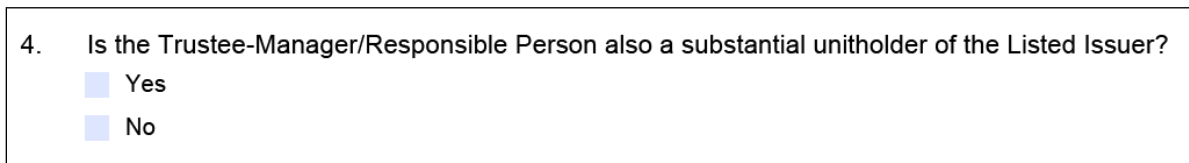


3. Name of Trustee-Manager/Responsible Person:

*Figure 9.3 – Part I - Item 3*

*Part I - Item 4*

9.8 You may only select one checkbox in item 4, which requires you to specify if the trustee-manager/responsible person is also a substantial unitholder<sup>4</sup> of the BT/REIT. You should select the checkbox “Yes”, if the trustee-manager/responsible person has an interest of 5% or more in the voting units of the Listed Issuer (i.e. he is considered to be a substantial unitholder of the Listed Issuer). Otherwise, you should select the checkbox “No”.



4. Is the Trustee-Manager/Responsible Person also a substantial unitholder of the Listed Issuer?

Yes

No

*Figure 9.4 – Part I - Item 4*

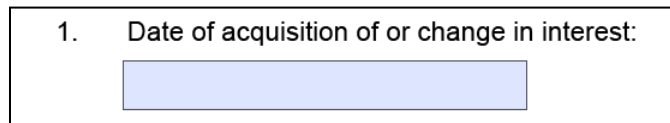
---

<sup>4</sup>A person is considered to be a substantial unitholder of the Listed Issuer if he has an interest in one or more voting units of the Listed Issuer, and the total votes attached to those units is not less than 5% of the total votes attached to all the voting units of the Listed Issuer.

## Filling up Part II of Form 6

### Part II - Item 1

9.9 Item 1 is a date field which requires you to select the date of acquisition of, or change in, interest. It is mandatory for you to complete item 1.

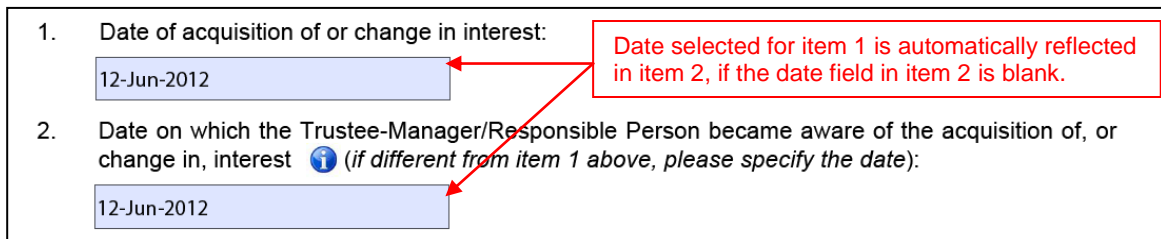


1. Date of acquisition of or change in interest:

Figure 9.5 – Part II - Item 1

### Part II - Item 2

9.10 Item 2 is a date field which captures the date on which the trustee-manager/responsible person became aware of the acquisition of, or change in, interest. If item 2 is blank and you select a date for “Date of acquisition of or change in interest” (item 1), the date in item 1 will automatically be reflected in item 2.



1. Date of acquisition of or change in interest:

2. Date on which the Trustee-Manager/Responsible Person became aware of the acquisition of, or change in, interest ⓘ (if different from item 1 above, please specify the date):

Date selected for item 1 is automatically reflected in item 2, if the date field in item 2 is blank.

Figure 9.6 – Part II - Items 1 and 2

9.11 You may select a date in item 2 which is different from that in item 1 if the date on which the trustee-manager/responsible person became aware of the acquisition of, or change in, interest is different from the date of acquisition or change. You should ensure that the date in item 2 is neither earlier than the date in item 1 nor later than the date on which the notification form will be disseminated on SGXNet. It is mandatory to complete item 2.

### Part II - Item 3

9.12 If the date in item 1 is different from the date in item 2, you should provide an explanation in item 3 of Part II.

3. Explanation (if the date of becoming aware is different from the date of acquisition of, or change in, interest):




Figure 9.7 – Part II - Item 3


**Part II - Item 4**

9.13 Item 4 provides a list of the different types of securities which are the subject of the transaction. You may select more than one checkbox if these types of securities are the subject of the same transaction. If you are giving notice of more than one transaction in the same notification form, you should add new Part II transaction. Please refer to paragraph 9.38 for details on adding multiple transactions.

9.14 If you have selected the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the type of securities which is the subject of the transaction. When you change your selection by de-selecting the checkbox “Others”, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible. It is mandatory to complete item 4.

4. Type of securities which are the subject of the transaction (more than one option may be chosen):

- Ordinary voting units
- Other type of units (excluding ordinary voting units)
- Rights/Options/Warrants over units
- Debentures
- Rights/Options over debentures
- Others (please specify):



Additional text field generated when the checkbox “Others” is selected.

Figure 9.8 – Part II - Item 4

9.15 Depending on the type of securities selected in item 4, the tables that will be generated in item 8 of Part II will vary accordingly. Please refer to paragraphs 9.22 to 9.32 for further details on the tables generated in item 8.

9.16 If you decide to de-select any checkbox in item 4, you should note that the corresponding table that is generated in item 8 and any information that has been previously filled in, in the table, will be deleted. When a checkbox is de-selected, a warning display will appear and you will be asked to confirm if you wish to proceed with the de-selection.

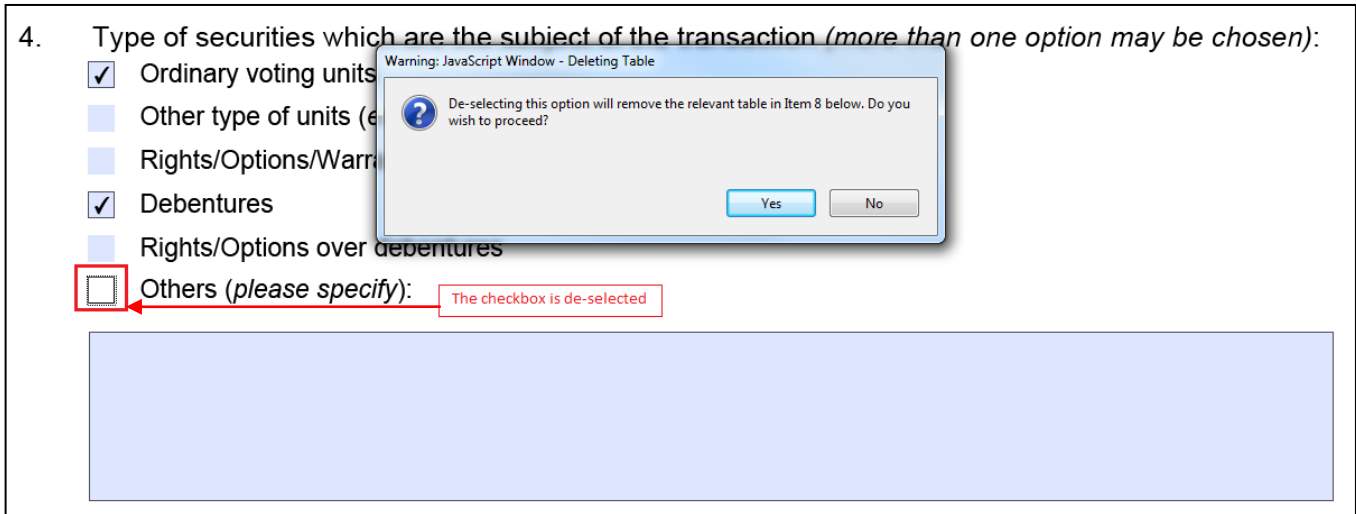


Figure 9.9 – De-selecting a checkbox in Part II - Item 4

#### Part II - Item 5

9.17 Item 5 requires you to provide details of the securities which are the subject of the transaction (e.g. the number of securities acquired or disposed of, the amount of debentures acquired etc).

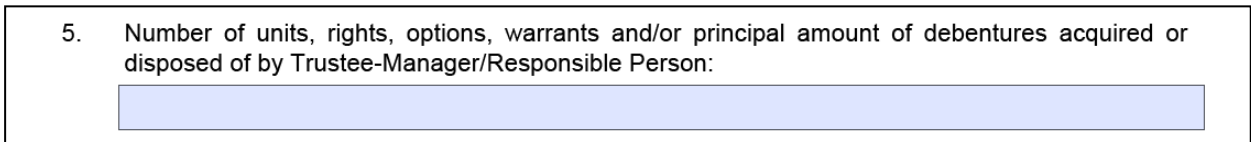


Figure 9.10 – Part II - Item 5

#### Part II - Item 6

9.18 Item 6 requires you to specify the amount of consideration paid or received, if applicable, by the trustee-manager/responsible person in respect of the acquisition or disposal of, or change in, interest in the securities. If no consideration is paid or received (e.g. the change in interest was due to a corporate action by the Listed Issuer), you should indicate “NA”.

6. Amount of consideration paid or received by Trustee-Manager/Responsible Person (*excluding brokerage and stamp duties*):

Figure 9.11 – Part II - Item 6

*Part II - Item 7*

9.19 Item 7 requires you to select the circumstance giving rise to the trustee-manager's/responsible person's interest or change in interest. You may only select one checkbox in item 7. It is mandatory to complete item 7.

7. Circumstance giving rise to the interest or change in interest:

Acquisition of:

- Securities via market transaction
- Securities via off-market transaction (*e.g. married deals*)
- Securities via physical settlement of derivatives or other securities
- Securities pursuant to rights issue
- Securities via a placement
- Securities following conversion/exercise of rights, options, warrants or other convertibles
- Units as part of management, acquisition and/or divestment fees paid by the Listed Issuer

Disposal of:

- Securities via market transaction
- Securities via off-market transaction (*e.g. married deals*)

Other circumstances:

- Acceptance of take-over offer for Listed Issuer
- Corporate action by Listed Issuer (*please specify*):
- Others (*please specify*):

Figure 9.12 – Part II - Item 7

9.20 If you select the checkbox “Corporate action by Listed Issuer”, an additional mandatory text field will be generated and you are required to provide details of the corporate action undertaken by the Listed Issuer. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Corporate action by Listed Issuer”, the text field and the information that has been previously filled in, will again be visible.

Corporate action by Listed Issuer (*please specify*):

Additional text field generated when the checkbox "Corporate action by Listed Issuer" is selected

Figure 9.13 – Additional text field generated

9.21 If you select the checkbox “Others”, an additional mandatory text field will be generated and you are required to provide details of the circumstances giving rise to the trustee-manager’s/responsible person’s interest or change in interest. When you change your selection to a different checkbox, any information that has been filled in, in the text field, will still be retained but will not be visible. If you change your selection back to the checkbox “Others”, the text field and the information that has been previously filled in, will again be visible.

Others (*please specify*):

Additional text field generated when the checkbox "Others" is selected

Figure 9.14 – Additional text field generated

### Part II - Item 8

9.22 The tables generated in item 8 will depend on your selection of the types of securities in item 4 of Part II. It is mandatory to fill in all fields in the tables generated.

#### Table 1

9.23 If your selection in item 4 is “Ordinary voting units”, Table 1, which is a table containing only numeric fields, will be generated. All the fields in the table will show a default value of 0.



**Table 1. Change in respect of ordinary voting units of Listed Issuer**

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of ordinary voting units held:	10,000	1,000	11,000
As a percentage of total no. of ordinary voting units: ⓘ	10	1	11
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of ordinary voting units held:	20,000	1,000	21,000
As a percentage of total no. of ordinary voting units: ⓘ	20	1	21

*Editable numeric fields*

This column will automatically aggregate the numbers reflected in the preceding numeric fields in the same row. This column is non-editable.

A validation check will be performed to ensure that the aggregate sum of the percentage of direct interest and deemed interest (in either row) does not exceed 100%.

Figure 9.15 – Table 1 of Part II - Item 8

9.24 The “Total” column fields are non-editable as the “Direct Interest” and “Deemed Interest” fields in the same row will be automatically aggregated.

9.25 You will not be allowed to fill in any percentage figure in the field “As a percentage of total no. of ordinary voting units”, if the value in the corresponding field “No. of ordinary voting units held” is 0.

9.26 You should calculate the percentage figure in the fields “As a percentage of total no. of ordinary voting units” by using the following formula:

$$\text{As a percentage of total no. of ordinary voting units} = \frac{\text{Total no. of ordinary voting units held by trustee-manager/responsible person}}{\text{Total no. of ordinary voting units of Listed Issuer}}$$

9.27 A validation check will be performed to ensure that the aggregate sum of the percentage figures in the “Direct Interest” and “Deemed Interest” fields does not exceed 100% for each row.

Table 2

9.28 If your selection in item 4 is “Other types of units (excluding ordinary voting units)”, Table 2 will be generated. You should complete Table 2 if you have an interest in other types of units of the Listed Issuer (e.g. preference units, cumulative preference units etc). All the fields are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 2. Change in respect of **other types of units** (excluding ordinary voting units) of the Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of units held:	1,000 6% cumulative non-convertible preference units	-	1,000 6% cumulative non-convertible preference units
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of units held:	2,000 6% cumulative non-convertible preference units	-	2,000 6% cumulative non-convertible preference units

Editable text fields

Figure 9.16 – Table 2 of Part II - Item 8

**Table 3**

9.29 If your selection in item 4 is “Rights/Options/Warrants over units”, Table 3 will be generated. All the fields in Table 3 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 3. Change in respect of rights/options/warrants over units of the Listed Issuer

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options/warrants held:	20,000 rights	-	20,000 rights
No. (if known) of units underlying the rights/options/warrants:	20,000 unissued units	-	20,000 unissued units
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options/warrants held:	20,000 rights	10,000 rights	30,000 rights
No. (if known) of units underlying the rights/options/warrants:	20,000 unissued units	10,000 unissued units	30,000 unissued units

Editable text

Figure 9.17 – Table 3 of Part II - Item 8

**Table 4**

9.30 If your selection in item 4 is “Debentures”, Table 4 will be generated. All the fields in Table 4 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

**Table 4. Change in respect of debentures of Listed Issuer**

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal amount of debentures held:	\$1 million of convertible bonds	-	\$1 million of convertible bonds
No. (if known) of shares/units underlying convertible debentures:	-	-	-
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Principal amount of debentures held:	\$0.8 million of convertible bonds	-	\$0.8 million of convertible bonds
No. (if known) of shares/units underlying convertible debentures:	-	-	-

Editable text fields

Figure 9.18 – Table 4 of Part II - Item 8

**Table 5**

9.31 If your selection in item 4 is “Rights/options over debentures”, Table 5 will be generated. All the fields in Table 5 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

**Table 5. Change in respect of rights/options over debentures of Listed Issuer**

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options held:	0	An option over \$500,000 of debentures	An option over \$500,000 of debentures
Principal amount (if known) of debentures underlying the rights/options:	-	\$500,000	\$500,000
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
No. of rights/options held:	0	0	0
Principal amount (if known) of debentures underlying the rights/options:	-	-	-

Editable text fields

Figure 9.19 – Table 5 of Part II - Item 8

**Table 6**

9.32 If your selection in item 4 is “Others”, Table 6 will be generated. You should provide a description of the types of securities in which the trustee-

manager/responsible person has an interest or where there is a change in interest. All the fields in Table 6 are editable text fields. Hence, an aggregated figure will not be generated in the “Total” column.

Table 6. Others

<i>Immediately before the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Details of securities held: <input type="text"/>			
<i>Immediately after the transaction</i>	<i>Direct Interest</i>	<i>Deemed Interest</i>	<i>Total</i>
Details of securities held: <input type="text"/>			

Editable text fields

Figure 9.20 – Table 6 of Part II - Item 8

**Part II - Items 9 and 10**

9.33 Item 9 requires you to provide details of the circumstances giving rise to the trustee-manager’s/responsible person’s deemed interests if you have disclosed such interests in securities in item 8. You may include attachments or charts in item 10 to illustrate how the deemed interests arise. Please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form.

9. Circumstances giving rise to deemed interests (*if the interest is such*):  
 [You may attach a chart(s) in item 10 to illustrate how the Trustee-Manager/Responsible Person's deemed interest, as set out in item 8 tables 1 to 6, arises]

Figure 9.21 – Part II - Item 9

**Part II - Item 11**

9.34 If you are submitting a Form 6 to amend an earlier Form 6 which had been disseminated by through SGXNet, you are required to complete the three fields in item 11.

11. If this is an **amendment** of an earlier notification, please provide:

(a) 5-digit SGXNET announcement number of the **first** notification which was announced on SGXNET (*the "Initial Announcement"*):

(b) Date of the Initial Announcement:

(c) 15-digit transaction reference number of the relevant transaction in the Form 6 which was attached in the Initial Announcement:

Figure 9.22 – Part II - Item 11

9.35 The information required to be provided in item 11 is in respect of the initial Form 6 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form 6 (e.g. the reasons for the amendments), you may do so by filling in such details in item 12 (please refer to paragraph 9.36) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form).

*Part II - Item 12*

9.36 Item 12 is a text field, which allows you to provide any other information relating to your notice.

12. Remarks (*if any*):

Figure 9.23 – Part II - Item 12

*Part III - Item 13*

9.37 Item 13 requires you to provide details of the person who is submitting the notification form on behalf of the trustee-manager/responsible person. It is mandatory for you to complete item 13.

*Item 13 is to be completed by an individual submitting this notification form on behalf of the Trustee-Manager/Responsible Person.*

13. Particulars of Individual completing this notification form:

(a) Name of Individual:

(b) Designation:

(c) Name of entity:

Figure 9.24 – Part II - Item 13

Adding/deleting multiple transactions

9.38 You may give notice of more than one transaction in the same Form 6 under Part II. To do so, you should select . Please refer to paragraphs 5.26 to 5.29 for details on adding and deleting multiple transactions.

**Additional transaction (Transaction "B", "C", etc) by the same Trustee-Manager/Responsible Person where the information in Part I is the same for the additional transaction**

Figure 9.25 – Adding transactions

## 10 Specific Guidance on Form C

### Persons required to complete Form C

10.1 If you are giving notice under Part VII of the SFA using Form 1, 3, or 5 you are also required to fill up Form C. Both Forms 1, 3 or 5, and Form C should be sent to the Listed Issuer via an electronic medium (e.g. e-mail) within the requisite reporting period.

10.2 If you have been authorised by a listed company, corporation, trustee-manager of a listed BT or responsible person of a listed REIT to disseminate the Forms 1, 3, or 5 and the accompanying Form C which the Listed Issuer had received, through the SGXNet Announcement Template - Disclosure of Interest/Changes in Interest, you are required to fill up Form C with particulars of the listed company, corporation, trustee-manager of a listed BT or responsible person of a listed REIT.

10.3 If you are giving notice under sections 137R(1)(a) or 137ZC(1)(a) of the SFA using Form 6, you are also required to fill up Form C with particulars of the trustee-manager/responsible person. You do not need to fill up a separate Form C for the Listed Issuer when you disseminate the Form 6 and accompanying Form C through the SGXNet Announcement Template - Disclosure of Interest/Changes in Interest.

10.4 If you have been authorised by the person giving notice on his behalf, you should only fill up Form C based on the information that has been provided to you by that person. You should maintain records of the information furnished to you.

10.5 You should note that Form C which will be attached to the SGXNet announcement - Disclosure of Interest/Changes in Interest, will **not** be disseminated to the public and will only be provided to the Authority.


### Timing of notification

10.6 You are required to complete Form C within the same reporting period as that of the accompanying Forms 1, 3, 5, or 6, or the SGXNet Announcement Template - Disclosure of Interest/Changes in Interest (i.e. Form 7).


### Filling up Part I of Form C

10.7 Part I captures details of person(s) giving notice using Form 1, 3, 5, 6 or 7.

10.8 If you are filling up this Form C to submit together with a completed Form 1, 3, 5 or 6, and have previously exported and saved the data in the completed Form 1, 3,

5 or 6 in XML format, you can import the data by clicking on  into a blank Form C, of the same version. Items 1 and 2(a)(i) of Part I of Form C will be automatically filled up with the XML data. Please refer to paragraphs 5.39 to 5.48 for details on how to use the import and export functions in the notification forms.

*Part I - Item 1*

10.9 You may only select one checkbox in item 1. Item 1 requires you to specify the category of person(s) giving notice. For example, if you are a director giving notice using Form 1, you should select the checkbox “Director/Chief Executive Officer (*Form 1*)”. If you have clicked on  to import the XML data in a completed Form 1 to a blank Form C, this field will automatically show that the checkbox “Director/Chief Executive Officer” has been selected. It is mandatory to complete item 1.


1. Person(s) giving notice is a/are:

- Director/Chief Executive Officer (*Form 1*)
- Substantial Shareholder(s)/Unitholder(s) (*Form 3*)
- Shareholder(s) of Trustee-Manager/Responsible Person (*Form 5*)
- Trustee-Manager/Responsible Person (*Form 6*)
- Corporation/Trustee-Manager/Responsible Person (SGXNET announcement template (*Form 7*))

Figure 10.1 – Part I - Item 1

10.10 The subsequent items in Part I are specific to each person giving notice, beginning with Person A.

*Part I (Person A) - Item 2(a)(i)*

10.11 Item 2(a)(i) requires you to state the name of the person giving notice as it appears in Form 1, 3, 5, 6 or 7. If you have clicked on  to import the XML data in a completed Form 1, 3, 5, or 6 to a blank Form C, this field will automatically show the name of the person giving notice (e.g. director/CEO, substantial shareholder/unitholder, shareholder of trustee-manager/responsible person, or trustee-manager/responsible person) as is stated in the relevant Form 1, 3, 5 or 6. It is mandatory to complete item 2(a)(i).

Person A 

2. (a) Details of Person A :

(i) Name: 

Figure 10.2 – Part I (Person A) - Item 2(a)(i)



*Part I (Person A) - Items 2(a)(ii) and (iii)*

10.12 You may only select one checkbox in item 2(a)(ii). You are required to provide details of the identification number of the person giving notice. You should ensure that the identification number is unique to the identification type selected. It is mandatory to complete item 2(a)(ii).

(ii) Identification Type:

- NRIC No. (for Singapore citizen and permanent residents only)
- Foreign Identification No. (FIN) (for foreign individuals only)
- Passport No. (for foreign individuals only)
- Unique Entity No. (UEN) (for Singapore registered entities only)
- Corporation Identification/Registration No. (for foreign entities only)

Identification No:

The identification number should be unique to the identification type selected.

Figure 10.3 – Part I (Person A) - Item 2(a)(ii) NRIC No.

(ii) Identification Type:

- NRIC No. (for Singapore citizen and permanent residents only)
- Foreign Identification No. (FIN) (for foreign individuals only)
- Passport No. (for foreign individuals only)
- Unique Entity No. (UEN) (for Singapore registered entities only)
- Corporation Identification/Registration No. (for foreign entities only)

Identification No:

The identification number should be unique to the identification type selected.

Figure 10.4 – Part I (Person A) - Item 2(a)(ii) Foreign Identification No.

(ii) Identification Type:


- NRIC No. (for Singapore citizen and permanent residents only)
- Foreign Identification No. (FIN) (for foreign individuals only)
- Passport No. (for foreign individuals only)
- Unique Entity No. (UEN) (for Singapore registered entities only)
- Corporation Identification/Registration No. (for foreign entities only)

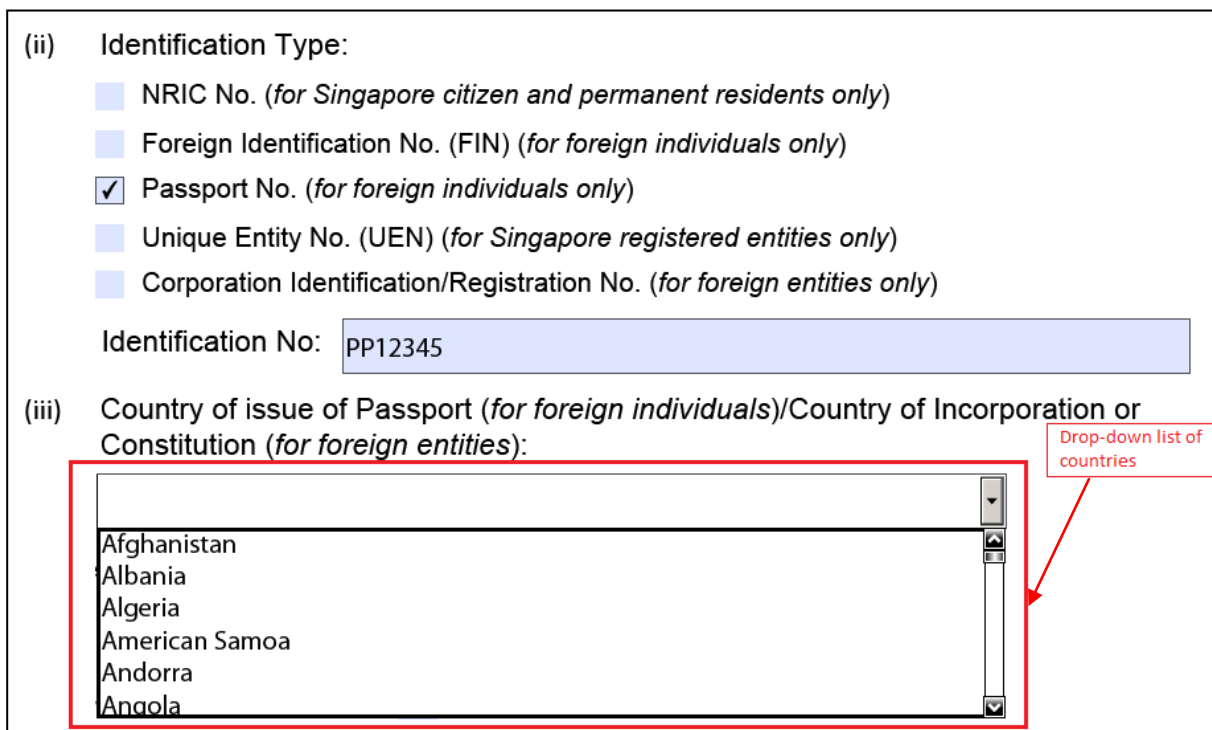
Identification No:

Editable text field

Figure 10.5 – Part I (Person A) - Item 2(a)(ii) UEN

10.13 If, after selecting a checkbox in item 2(a)(ii) and filling in the identification number, you change your selection to another checkbox, any data that had been filled in previously for the identification number will be deleted. You will need to fill in the identification number again.

10.14 If you have selected the checkbox for either “Foreign Identification No.,” “Passport No.” or “Corporation Identification/Registration No.” in item 2(a)(ii), item 2(a)(iii) will be displayed. Item 2(a)(iii) requires you to select the country of birth (for foreign individuals), the country of issue of passport (for foreign individuals) or the country of incorporation or constitution (for foreign entities). You should click on the button  on the right side of the field, for a drop-down list of countries. It is mandatory to complete item 2(a)(iii).



(ii) Identification Type:

- NRIC No. (for Singapore citizen and permanent residents only)
- Foreign Identification No. (FIN) (for foreign individuals only)
- Passport No. (for foreign individuals only)
- Unique Entity No. (UEN) (for Singapore registered entities only)
- Corporation Identification/Registration No. (for foreign entities only)

Identification No:

(iii) Country of issue of Passport (for foreign individuals)/Country of Incorporation or Constitution (for foreign entities):

Afghanistan

Albania

Algeria

American Samoa

Andorra

Angola

Drop-down list of countries

Figure 10.6 – Part I (Person A) - Items 2(a)(ii) and 2(a)(iii)

**Part I (Person A) – Item 2(b)**

10.15 Item 2(b) requires you to provide the correspondence address for the person giving notice. Depending on your selection as to whether the correspondence address is a Singapore address or an overseas address, different fields will be displayed in item 2(b). When you change your selection for example, from “Singapore address” to “Overseas address”, any information that has been filled in, will still be retained but will not be visible. If you change your selection back to the checkbox “Singapore address”, the text fields and the information that has been previously filled in, will again be visible. It is mandatory for you to complete item 2(b).

(b) Correspondence Address:

Singapore address     Overseas address

Block/House No.

Street Name

Floor No.                       Unit No.

Building Name

Postal Code

Figure 10.7 – Part I (Person A) – Item 2(b) (Singapore address)

(b) Correspondence Address:

Singapore address     Overseas address

Address Line 1

Address Line 2

Address Line 3

Figure 10.8 – Part I (Person A) – Item 2(b) (Overseas address)

**Part I (Person A) – Item 2(c)**

10.16 Item 2(c) requires you to specify if the address provided in item 2(b) is that of Person A’s address or Person’s A care of address.

(c) The address provided in item 2(b) above is:

Person A 's address

Person A 's care of address

Figure 10.9 – Part I (Person A) – Item 2(c)

10.17 If you select the checkbox “Person A’s address”, an additional text field will be generated. This text field requires you to provide the name of the officer or individual to receive correspondences, if any, from the Authority. It is mandatory to fill up this text field if you have selected the checkbox for either “Unique Entity No. (UEN)” or

“Corporation Identification/Registration No.” in item 2(a)(ii) (please refer to paragraph 10.12).

(c) The address provided in item 2(b) above is:

Person A 's address

Where Person A is an entity, please specify the name of the officer to receive correspondence:

Figure 10.10 – Part I (Person A) – Item 2(c)

10.18 If you select the checkbox “Person A’s care of address”, two additional text fields will be generated. The text fields require you to provide the names of the care of entity/individual and the individual to receive the correspondences, if any, from the Authority.

Person A 's care of address

Please specify the name of the care of entity:

Please specify the name of individual to receive correspondence:

Figure 10.11 – Part I (Person A) – Item 2(c)

#### Part I - Item 4

10.19 Item 4 is a text field, which allows you to provide any other information relating to Form C.

4. Remarks (if any):

Figure 10.12 –Part I (Person A) - Item 4

#### Adding/deleting multiple persons giving notice

10.20 If you have selected the checkbox “Substantial Shareholder(s)/Unitholder(s) (Form 3)” or “Shareholder(s) of Trustee-Manager/Responsible Person (Form 5)” in

Part I – Item 1 (please refer to paragraph 10.9), and there is more than one person giving notice using a single Form 3 or 5, you should provide the contact details of all the persons giving notice in that Form 3 or 5, in a single Form C. To do so, you should select **Add New Person Giving Notice**. Please refer to paragraphs 5.30 to 5.32 for details on adding and deleting multiple shareholders.

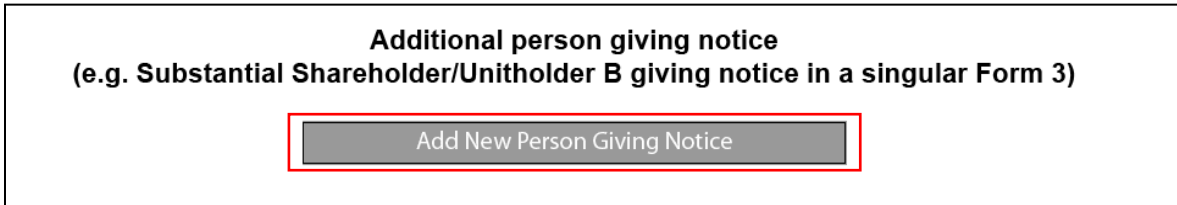


Figure 10.13 – Adding multiple persons giving notice under Form 3 and 5

### Filling up Part II of Form C

10.21 You are required to provide details of a contact person whom the Authority can contact for clarification on information contained in Form 1, 3, 5, 6 or the SGXNet announcement - Disclosure of Interest/Changes in Interest (i.e. Form 7). It is mandatory for you to complete Part II.

The image shows a form section with a dark blue header containing the text "Part II - Details of contact person for clarification on information contained in Form 1, 3, 5, 6 or 7" in white. Below the header, the text "Details of Contact Person:" is followed by three items:

- (a) Name: A light blue text input field with a red border.
- (b) Contact Number: A light blue input field with a red border, containing a "+" sign in a small box followed by a series of empty boxes for digits.
- (c) Contact Email: A light blue text input field with a red border.

Figure 10.14 – Part II

### Filling up Part III of Form C

10.22 If Form 1, 3, 5 or 6 had been disseminated on SGXNet and you wish to make amendments to the accompanying Form C or the Form C containing the contact details of the Listed Issuer/trustee-manager/responsible person, you are required to complete Part III of the amended Form C.

Part III - Amended Form C	
If this Form C is an amendment of a Form C which was included in an earlier notification, please provide:	
(a)	5-digit SGXNET announcement number of the earlier notification which was announced on SGXNET ( <i>the "Initial Announcement"</i> ): <input type="text"/>
(b)	Date of the Initial Announcement: <input type="text"/>

Figure 10.15 – Part III

10.23 The information required to be provided in Part III is in respect of the initial Form 1, 3, 5, 6 or 7 which had been disseminated on SGXNet. If you wish to provide details of the amendments to the amended Form C (e.g. the reasons for the amendments), you may do so by filling in such details in item 4 (please refer to paragraph 10.19) or by uploading attachments (please refer to paragraphs 5.14 to 5.22 for details on how to upload attachments to the notification form). The amended Form C should be sent to the Authority by fax at +65 6225 1355 or via an electronic medium such as an e-mail attachment to [SFA\\_Notifications@mas.gov.sg](mailto:SFA_Notifications@mas.gov.sg). You **should not** disseminate the amended Form C on SGXNet.

## 11 Miscellaneous

### Contact us

11.1 If there are any questions or issues arising from the use of the electronic notification forms, please contact the Authority's Helpdesk at +65 6229 9222 / 6229 9956 or via e-mail at [SFA\\_Notifications@mas.gov.sg](mailto:SFA_Notifications@mas.gov.sg). The operating hours of the Authority's Helpdesk are from 8:30 AM to 6:00 PM (Monday to Thursday) and 8:30 AM to 5:30 PM (Friday), Singapore time, excluding public holidays.

11.2 If you have any questions on the requirements in Part VII of the SFA, please contact the Authority via e-mail at [SFA\\_Notifications@mas.gov.sg](mailto:SFA_Notifications@mas.gov.sg). Please provide your contact details in your email.

11.3 If there are any questions or issues arising from the use of the SGXNet Announcement Template - Disclosures of Interest/Changes in Interest, please contact SGX Helpdesk at (+65) 6236-8400 or via e-mail at [it\\_helpdesk@sgx.com](mailto:it_helpdesk@sgx.com).