

**Securities and Futures (Offers of Investments) (Collective Investment Schemes)  
(Amendment No. 2) Regulations 2002**

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**No. S 614**

**SECURITIES AND FUTURES ACT 2001  
ACT 42 OF 2001**

**SECURITIES AND FUTURES (OFFERS OF INVESTMENTS) (COLLECTIVE  
INVESTMENT SCHEMES) (AMENDMENT NO. 2) REGULATIONS 2002**

In exercise of the powers conferred by sections 296(1) and 341 of the Securities and Futures Act 2001, the Monetary Authority of Singapore hereby makes the following Regulations:

**Citation and commencement**

1. These Regulations may be cited as the Securities and Futures (Offers of Investments) (Collective Investment Schemes) (Amendment No. 2) Regulations 2002 and shall come into operation on 5th December 2002.

**Amendment of First Schedule**

2. The First Schedule to the Securities and Futures (Offers of Investments)

(Collective Investment Schemes) Regulations 2002 (G.N. No. S 241/2002) (referred to in these Regulations as the principal Regulations) is amended —

- (a) by deleting questions 17 to 20 and the paragraph immediately under question 20 in Part IV of Form 2 and substituting the following questions and paragraph:

“

17. Within the past 10 years, has the manager had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in Singapore or elsewhere, or are there any proceedings now pending that may lead to such a judgment or imposition of penalty?

Yes ☐ No ☐

18. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the manager in Singapore or elsewhere?

Yes ☐ No ☐

19. Within the past 10 years, has the manager been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in any place?

Yes ☐ No ☐

20. Within the past 10 years, has the manager been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in Singapore or elsewhere?

Yes ☐ No ☐

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to questions 17 to 20 is “Yes”.

”;

- (b) by deleting questions 6 to 9 in Part III of Form 3 and substituting the following questions:

“

6. Within the past 10 years, has the applicant had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in Singapore or elsewhere, or are there any

proceedings now pending that may lead to such a judgment or imposition of penalty?

Yes ☐ No ☐

7. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the applicant in Singapore or elsewhere?

Yes ☐ No ☐

8. Within the past 10 years, has the applicant been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in any place?

Yes ☐ No ☐

9. Within the past 10 years, has the applicant been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in Singapore or elsewhere?

Yes ☐ No ☐

”;

- (c) by inserting, immediately after question 3 in Part III of Form 5, the following question:

“

- 3A. Indicate the structure of the scheme.

- ☐ Unit Trust  
☐ Corporation  
☐ Other (specify) \_\_\_\_\_

”; and

- (d) by deleting questions 8 to 11 in Part IV of Form 5 and substituting the following questions:

“

8. Within the past 10 years, has the manager had judgment given against it in any civil proceedings or incurred penalties imposed by a public authority, in Singapore or elsewhere, or are there any proceedings now pending that may lead to such a judgment or imposition of penalty?

Yes ☐ No ☐

9. Within the past 10 years, has a receiver, a receiver and manager, a judicial manager or an equivalent person ever been appointed in relation to or in respect of any property of the manager in Singapore or elsewhere?

Yes ☐ No ☐

10. Within the past 10 years, has the manager been refused the right or restricted in its right to carry on any activity for which a specific licence, registration or other authority is required by law in any place?

Yes ☐ No ☐

11. Within the past 10 years, has the manager been censured, disciplined, suspended or refused membership or registration by a regulatory authority for any activity in Singapore or elsewhere?

Yes ☐ No ☐

”;

### **Amendment of Third Schedule**

**3. The Third Schedule to the principal Regulations is amended —**

- (a) by deleting the word “securities” in paragraph 18(a) of Part VII and substituting the word “investments”;
- (b) by deleting paragraph 75 of Part XXI and substituting the following paragraph:

“

75. If the Scheme is a specialised collective investment scheme as referred to in the Code on Collective Investment Schemes, state specific warnings or additional information as required in