



**MEMBER'S TRADER**

**REGISTRATION FORM**

### **Explanatory Notes**

1. A separate registration form must be completed for each Member's Trader who is required to be registered with Asia Pacific Exchange Pte Ltd ("Exchange"), in accordance with the Trading Rules of the Exchange.
2. All questions in the registration form must be answered.
3. Provide all information and documents required in the checklist. All information is required unless explicitly stated as optional.
4. Any document submitted with this registration form must be in English.
5. The registration form must be accompanied by a payment of the applicable registration fees. The registration fees are non-refundable.
6. The registration form, along with the relevant supporting documents, must be sent to the Exchange via email at [membersupervision@asiapacificex.com](mailto:membersupervision@asiapacificex.com), and it must reach the Exchange prior to the Member's Trader conducting activities on behalf of the Member.
7. Should you have any queries, please do not hesitate to contact the Member Supervision team via email at [membersupervision@asiapacificex.com](mailto:membersupervision@asiapacificex.com).

**Member’s Trader Registration Checklist**

DESCRIPTION
<input type="checkbox"/> Complete the Registration And Undertaking By The Member Form (page 4).
<input type="checkbox"/> Complete Section A (pages 5 to 7) and provide a certified true copy of the Registrant’s NRIC (or a certified true copy of the Registrant’s passport/employment pass if the Registrant is non-Singaporean).
<input type="checkbox"/> Complete Section B (pages 8 to 10) and provide a written explanation and supporting documents for any questions answered “Yes”.
<input type="checkbox"/> Complete the declaration Form in Section C (page 11).
<input type="checkbox"/> Attach a bank transfer advice for the below fees stating the name of the Registrant. Please note that the fees are non-refundable. Goods and Services Tax (GST) is chargeable to all applicants at the prevailing GST rate in Singapore unless the service is zero-rated or exempted under the GST law. <b>Note: All bank charges to be borne by Payer (Registrant).</b>

**Registration Fees**

Registration for:	Types of fees	Amount in USD	Amount in USD (inclusive of 9% GST)
Member’s Trader	Registration Fee (at point of registration)	70.00	76.30
	Annual Fee (annual)	70.00	76.30

**Notes:**

- The Registration Fee includes the annual fee for the period up to the first 30 June.
- Invoice for subsequent annual fee will be issued during the first week of July and payable within 30 days from the date of the invoice issued.
- For termination of existing Member’s Trader, there will not be any refund of the registration fee or annual fee paid.

**Bank Transfer Advice**

Payee Name	Asia Pacific Clear Pte. Ltd.
Bank Name	DBS Bank
Bank Address	12 Marina Boulevard DBS Asia Central, Marina Bay Financial Centre Tower 3 Singapore 018982
Bank Code	7171
Bank Account No	0003041192015 (USD)
Branch Name	DBS Asia Central
Branch Code	003
Swift Code	DBSSSGSG

To: Asia Pacific Exchange Pte. Ltd.

## REGISTRATION AND UNDERTAKING BY THE MEMBER

We, \_\_\_\_\_, a General Member/  
Trade Member\* of Asia Pacific Exchange Pte. Ltd. ("Exchange"), hereby apply to register:

Name: \_\_\_\_\_

NRIC or Passport No.: \_\_\_\_\_

to act on our behalf in the capacity of a Member's Trader.

We declare that we have conducted due diligence on the registrant's background and confirm that:

1. The information provided in this registration form and attached document(s) are true and correct;
2. There is no conflict of interest, including any arising from the registrant's shareholdings and/or directorship(s); and
3. The registrant is a fit and proper person to be placed on the Register.

We further confirm that the registrant is duly registered with the relevant authority to carry out the regulated activity to trade in futures contracts.

We undertake to:

1. Ensure that the registrant will not act on our behalf, or hold himself/herself\* out as acting on our behalf, in any capacity that would require registration with the Exchange unless the Exchange has approved such registration;
2. Be responsible for all acts or omissions of the registrant in the capacity of a person whom we have registered with the Exchange;
3. Ensure that the registrant complies at all times with the Trading Rules, the Trading Procedures, and all applicable Regulatory Notices and Directives of the Exchange; and
4. Notify the Exchange immediately upon the termination or resignation of the registrant.

Signature of Authorized Person: \_\_\_\_\_

Name & Designation of Authorized Person: \_\_\_\_\_

Date: \_\_\_\_\_

*\* Please delete accordingly.*

**SECTION A**  
**PERSONAL INFORMATION**

1. Full Name as in Identification Card /  
Passport\* : \_\_\_\_\_  
(Please underline surname)
  
2. Singapore Identification Card No.(NRIC)/  
Passport No. (for non-Singaporean) : \_\_\_\_\_
  
3. FIN No. (if applicable) : \_\_\_\_\_
  
4. Date of Birth (DD/MM/YYYY) : \_\_\_\_\_
  
5. Place of Birth : \_\_\_\_\_
  
6. Gender : Male / Female\*
  
7. Nationality : \_\_\_\_\_
  
8. Contact No(s) (Office) : \_\_\_\_\_  
(Mobile) : \_\_\_\_\_
  
9. Email Address : \_\_\_\_\_
  
10. Residential Address:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*\* Please delete accordingly.*

**EMPLOYMENT HISTORY**

Please provide details of the Registrant’s employment or business activities in the last 10 years in reverse chronological order from the present company, including periods of self-employment, part-time employment, unemployment and national service. Additional sheets may be attached if the space provided is not sufficient.

Period of Employment or Activity		Name and Address of Employer (if self-employed, please state)	Nature of Business of Employer	Position Held
From (mm/yyyy)	To (mm/yyyy)			

**HIGHEST EDUCATIONAL LEVEL**

(\* Please indicate type of certificate obtained)

- GCE Ordinary Level or equivalent \* \_\_\_\_\_
- GCE Advanced Level or equivalent \* \_\_\_\_\_
- Diploma \* \_\_\_\_\_
- Graduate \* \_\_\_\_\_
- Postgraduate \* \_\_\_\_\_
- Others (Please specify) \* \_\_\_\_\_

**REPRESENTATIVE NUMBER**

Have you carried on business in regulated activity(ies) with Monetary Authority of Singapore under the Securities and Futures Act and/or provided financial advisory service(s) under the Financial Advisers Act?  Yes  No

If Yes, please provide the Representative Number: \_\_\_\_\_

**SECTION B**  
**FIT AND PROPER DECLARATION**

If the answer to any of the following questions is in the affirmative, please elaborate and attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the Registrant is Fit & Proper.

Honesty, Integrity and Reputation

1.	Within the past 10 years, has the Registrant		
(a)	been a substantial shareholder of any corporation which holds membership of any class or description of any operator of a market or clearing facility in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b)	carried on business under any name other than the name stated in this registration in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c)	been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific licence, registration or other authorization is required by law in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d)	been issued a prohibition order under any Act administered by the Monetary Authority of Singapore (“MAS”) or been prohibited from operating in any jurisdiction by any financial services regulatory authority?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e)	been censured, disciplined, suspended or refused membership or registration by the MAS, any other regulatory authority, an Exchange or operator of a market or clearing facility, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(f)	the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by MAS or under any law in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(g)	been the subject of any proceedings of a disciplinary or criminal nature or has been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(h)	been convicted of any offence, served any term of imprisonment or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction? (excluding juvenile delinquency, motor and traffic offences)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(i)	had any civil penalty enforcement action taken against him by the MAS or any other regulatory authority under any law in any jurisdiction associated with a finding of fraud, misrepresentation or dishonesty?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(j)	contravened or abetted another person in breach of any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(k)	been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the MAS, any other regulatory authority, an Exchange or operator of a market or clearing facility, or government agency, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No



(l)	been refused a fidelity or surety bond, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(m)	been or is a director, partner, substantial shareholder or concerned in the management of a business that has been censured, disciplined, prosecuted or convicted of a criminal offence, or been the subject of any disciplinary or criminal investigation or proceeding, whether in Singapore or elsewhere, in relation to any matter that took place while he was a director, partner, substantial shareholder or concerned in the management of the business?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(n)	been or is a director, partner, substantial shareholder or concerned in the management of a business that has been suspended or refused membership or registration by the MAS, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(o)	been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, the relevant person was a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(p)	been dismissed or asked to resign from office, employment, a position of trust, or a fiduciary appointment or similar position, whether in Singapore or elsewhere other than retrenchment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(q)	been or is subject to disciplinary proceedings by his current or former employer(s), whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(r)	been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(s)	been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Singapore or elsewhere?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(t)	had any judgment in particular, that associated with a finding of fraud, misrepresentation or dishonesty entered against him in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(u)	accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>If the answer to any of the following questions is in the affirmative, please elaborate and attach annexes and supporting documents, where appropriate, to provide all relevant particulars. If there is any doubt with respect to any part of this section, please provide all relevant information to demonstrate that the Registrant is Fit &amp; Proper.</p>			

<u>Financial Soundness</u>	
2.	Within the past 10 years, has the Registrant
(a)	been or is unable to fulfil any of his financial obligations, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No
(b)	entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its or his creditors, or made an assignment for the benefit of its or his creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No
(c)	been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No
(d)	been or is the subject of a bankruptcy petition, adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No
(e)	been or is the subject of a winding up petition, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No
(f)	been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere? <input type="checkbox"/> Yes <input type="checkbox"/> No

**OTHER REGISTRATIONS & LICENSES**

Is the registrant currently licensed or registered with any regulatory authority or exchange (including any overseas regulatory authority or overseas exchange)?  Yes  No

If Yes, please specify: \_\_\_\_\_

**SECTION C**  
**DECLARATION BY REGISTRANT**

I declare that all particulars given in this registration form are true and accurate and that I have not omitted any relevant facts that would have a bearing on Asia Pacific Exchange Pte. Ltd. (“Exchange”)’s decision to approve the registration.

I hereby undertake as follows:

1. To be bound by the Trading Rules of the Exchange, the Trading Procedures, all applicable Regulatory Notices and Directives of the Exchange.
2. Not to act in the capacity of a person registered with the Exchange, or hold myself out as such a person, until I have received written notification from the Exchange that my registration has been approved.
3. To immediately inform the Exchange of any material change in any information given in this registration form or if I become involved in any investigation conducted by any government body, regulatory authority or institution or in any matter that may be detrimental to the name, reputation and business of the Exchange while I am registered with the Exchange.

I confirm that I have obtained the necessary consent to disclose the information (including any personal data as defined in the Personal Data Protection Act 2012) contained in this registration form to the Exchange, and I authorize the Exchange to collect, use and disclose this information for the purpose of assessing my registration and managing my ongoing status as a Member’s Trader, and discharging the Exchange’s obligations.

By registering as a Member’s Trader, I agree to receive regular updates on products and events, from time to time.

\_\_\_\_\_  
Signature of Registrant

\_\_\_\_\_  
Name & Designation of Registrant

\_\_\_\_\_  
Date