



ICE FUTURES SINGAPORE PTE. LTD.

**REGISTRATION FORM
FOR
RESPONSIBLE INDIVIDUAL**

Please complete and return the form to the Exchange at:

6 Battery Road, #36-01
Singapore 049 909

If you have any questions regarding this registration form,
please contact:

ICESingaporeMembership@theice.com
+65 6594 0172

CHECKLIST OF INFORMATION TO BE RETURNED WITH THIS REGISTRATION FORM

Before submitting your Registration Form, please review the Form for completeness. Please also review the checklist below for documents that should be furnished together with the Form.

Documents Required		YES,NO or N/A
1	<u>Section 2.1</u> A copy of the NRIC, FIN or passport as proof of identity, A recent telephone, utility bill or bank statement as proof of residential address. The proof of identity and proof of residential address should be certified true by a notary public, a lawyer or certified public or professional accountant.	
2	<u>Section 2.3</u> Where the applicant is a representative of a person exempted from holding a capital market services licence; or is otherwise exempted from authorisation to act as a representative, documentary evidence of the relevant exemption.	
3	<u>Section 2.3</u> Where the applicant is licensed, or registered or approved under any other laws in any other jurisdiction which requires licensing, registration or approval in relation to any regulated activity, appropriate evidence of such regulatory status.	
4	<u>Section 2.5</u> Details to support "Yes" answers to questions in the Questionnaire.	

Please provide all information and documents requested in this application form in English.

Where a document is in another language, please engage a suitably qualified translator to translate the document into English and request your Company Secretary or Head of Legal to certify the translated version.

1. DETAILS OF MEMBER OF ICE FUTURES SINGAPORE

Member Name		Member Mnemonic (if available at registration)	
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2. RESPONSIBLE INDIVIDUAL

2.1 Particulars of Applicant

Salutation (Mr./Mrs./Miss etc.)			
First Name		Last Name or Surname	
Aliases (if any)		Date of Birth (DD/MM/YYYY)	
NRIC Number, FIN Number or Passport Number[#]		Nationality	
Residential Address		Postal Code	
Work Phone Number		Mobile Phone Number	
Home Phone Number		E-mail Address	
Jurisdiction from where trading is done			

Please provide us (1) as proof of identity, a copy of the NRIC, FIN or passport and (2) as proof of residential address, a recent telephone, utility bill or bank statement. The proof of identity and proof of residential address should be certified true by a notary public, a lawyer or certified public or professional accountant.

2.2 Highest Education Level

Please indicate the highest education level attained and the type of certificate obtained, e.g. Graduate with Bachelor of Business.

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

2.3 Employment History for the Last 10 years

Please provide the following information on your employment history for the last 10 years. You may provide the information on a separate sheet if necessary.

Period of Employment			Name of Employer	Position Held	Job Responsibilities
From (mm/yyyy)	To (mm/yyyy)	Duration (No. of months/ year)			

2.3 Authorisation and Licensing

No	Questions	Response	
		Yes	No
1(a)	Are you an “appointed representative”, “provisional representative” or “temporary representative” under sections 99D, 99E or 99F of the Securities and Futures Act (Chapter 289 of Singapore) (“SFA”) for trading in futures contracts, and/or under the Financial Advisers Act (Chapter 110 of Singapore) (“FAA”) as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>
(b)	If “Yes”, please provide us with your Representative Number:	_____	
(c)	If “No”,		
	(i) Are you a representative of a person exempted from holding a capital market services licence under Section 99(1)(f), (g) or (h) of the SFA and/or Section 23(1)(ea) or (f) of the FAA?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

(ii) Are you otherwise exempted from authorisation to act as a representative under Section 99B(2) of the SFA and/or Section 23B(2) of the FAA as appropriate? Yes ☐ No ☐

If “Yes” to either (i) or (ii) above, please provide us with documentary evidence of the relevant exemption.

2 Are you licensed, or registered or approved under any other laws in any other jurisdiction which requires licensing, registration or approval in relation to any regulated activity? Yes ☐ No ☐

(b) If “Yes”, please provide us with appropriate evidence of such regulatory status.

2.4 Responsible Individual Mnemonic

Are you a trader or broker?	
Please state which front end system are you using? (e.g. TT, FIX API's, WebICE)	
Number of Individual Trader Mnemonic or ITM(s) Requested: (if more than 1 ITM are requested, please provide a separate attachment containing the information shown on Annex A)	

Please choose as appropriate*	Energy Contracts	Precious Metals Contracts	FX Contracts
*SMA (System Managed Account) set-up (with limits)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
*LMA (Locally Managed Account) set-up (with no limits)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Preferred ITM(s) (3 letters only. Please indicate 3 ITM preferences. Assignment of preferred ITM is subjected to availability)	1 st Choice	2 nd Choice	3 rd Choice

2.5 Fit and Proper Declaration

Questionnaire

If the answer to any of the following questions is in the affirmative, please attach annexes and supporting documents, where appropriate, to provide all relevant particulars.

Honesty, Integrity and Reputation

1. Within the past 10 years, has the applicant –

	Yes	No /NA
(a) been refused the right or restricted in his/her right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(b) been issued a prohibition order under any written law administered by the MAS or has been prohibited from operating in other jurisdiction by any financial services regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
(c) been censured, disciplined, suspended or refused membership or registration by the MAS, any other regulatory authority, an operator of a market or clearing facility, any corporation which is the parent of an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(d) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the MAS or under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(e) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(f) been convicted of any offence, or is being subject to any pending proceedings which may lead to such a conviction, under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(g) had any judgment (in particular, that associated with a finding of fraud, misrepresentation, or dishonesty) entered against him/her 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"/>	<input type="checkbox"/>
(h) accepted civil liability for fraud or misrepresentation under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(i) had any civil penalty investigations or enforcement actions taken against him/her by the MAS or any other regulatory authority under any law in any jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
(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"/>	<input type="checkbox"/>
(k) been the subject of any investigations or disciplinary proceedings or been issued a	<input type="checkbox"/>	<input type="checkbox"/>

warning or reprimand by the MAS, any other regulatory authority, any operator of a market, trade repository or clearing facility, any corporation which is the parent of an operator of a market, trade repository or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?

(l) been refused a fidelity or surety bond, whether in Singapore or elsewhere? ☐ ☐

(m) demonstrated an unwillingness to comply with any regulatory requirement or to uphold any professional and ethical standards, whether in Singapore or elsewhere? ☐ ☐

(n) been untruthful or provided false or misleading information to MAS or been uncooperative in any dealings with MAS or any other regulatory authority in any jurisdiction? ☐ ☐

(o) 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, criminal investigation or proceeding, whether in Singapore or elsewhere, in relation to any matter that took place while he/she was a director, partner, substantial shareholder or concerned in the management of the business? ☐ ☐

(p) 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, any operator of a market, trade repository or clearing facility, any corporation which is the parent of an operator of a market, trade repository or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? ☐ ☐

(q) 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, he/she was a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere? ☐ ☐

(r) 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? ☐ ☐

(s) been or is subject to disciplinary proceedings by his/her current or former employer(s), whether in Singapore or elsewhere? ☐ ☐

(t) been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere? ☐ ☐

(u) 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? ☐ ☐

Financial Soundness

Within the past 10 years, has the applicant –	Yes	No/ NA
(a) been or is unable to fulfill any of his/her financial obligations, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(b) entered into a compromise or scheme of arrangement with his/her creditors or made an assignment for the benefit of his/her creditors, being a compromise or scheme of arrangement that is still in operation, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(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"/>	<input type="checkbox"/>
(d) been or is the subject of bankruptcy petition, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(e) been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
(f) been or is subject to any other process outside Singapore that is similar to those referred to in (d) and (e)?	<input type="checkbox"/>	<input type="checkbox"/>

3 APPLICANT STATEMENT

I confirm that:

- (a) I understand that business conducted on ICE Futures Singapore Pte. Ltd. (ICE Futures Singapore) is subject to ICE Futures Singapore Rules and other appropriate regulatory requirements and I will always act in a manner which is compliant with the standards required by these bodies;
- (b) I shall comply with all ICE Futures Singapore Rules;
- (c) I am fully competent in using the front end application used by the above Member to trade ICE Futures Singapore Contracts in a manner which is consistent with the role and obligations of an ICE Futures Singapore Responsible Individual as set out in the ICE Futures Singapore Rules;
- (d) I understand that I shall be responsible to ICE Futures Singapore for all transactions conducted and or actions taken or omitted using any ITM allocated to me by ICE Futures Singapore or any ITM of another Responsible Individual registered to the above Member for which the Member nominates me on a temporary basis;
- (e) I consent to my personal data being used by ICE Futures Singapore and or transmitted to and from Singapore, the European Union and the United States of America for the purpose of operating and monitoring ICE Futures Singapore and related purposes;
- (f) All of the particulars stated on this form are true and accurate with no deliberate or reckless omission of relevant facts;
- (g) I shall inform ICE Futures Singapore of any material change in information provided in this application or any involvement in any investigation by any regulatory authority; and
- (h) I shall not act in the capacity of a Responsible Individual until I have received written notification from ICE Futures Singapore that this application has been approved.

Signature	
Print Name	
Date	

4 MEMBER STATEMENT

We confirm that:

- (a) We have conducted adequate due diligence checks on the applicant and will take responsibility for ensuring that the applicant will not act in the capacity of a Responsible Individual until this application is approved;
- (b) The applicant is suitably and adequately trained, is fully competent in using the front end application used by us to trade ICE Futures Singapore Contracts in a manner which is consistent with the role and obligations of an ICE Futures Singapore Responsible Individual as set out in the ICE Futures Singapore Rules and is otherwise fit and proper for such role;
- (c) We have consulted the details of ICE Futures Singapore's various jurisdictional approvals at <https://www.theice.com/futures-singapore/regulation> and that there are no jurisdictional restrictions applicable to our proposed trading arrangements;
- (d) All of the particulars stated on this form are true and accurate to the best of our knowledge having made reasonably enquiry, with no deliberate or reckless omission of relevant facts;
- (e) There is no conflict of interest arising from the applicant's shareholding in or directorship of other entities;
- (f) The applicant is exempted/ licensed/ registered with all relevant regulatory authorities;
- (g) We have put on place proper controls to ensure that the applicant will abide by the ICE Futures Singapore Rules at all time; and
- (h) We shall inform ICE Futures Singapore of any material change in information provided in this application or any involvement in any investigation by any regulatory authority.

Signature of Authorised Signatory	
Print Name	
Title	
Date	

Annex A

ICE Futures Singapore - Registration Form for Responsible Individual
- Request for Multiple ITMs

Member Company: _____

Name of Responsible Individual ("RI"): _____

Number of ITMs: _____

ITM	SMA or LMA	Contracts (Energy, FX or Precious Metals)	Preferred ITM		
			1st Choice	2 nd Choice	3 rd Choice

Illustration

Member Company: ABC Brokerage

Name of Responsible Individual ("RI"): Peter Jackson

Number of ITMs: 4

ITM	SMA or LMA	Contracts (Energy, Precious Metals or FX)	Preferred ITM		
			1st Choice	2 nd Choice	3 rd Choice
1	SMA	Energy	PET	PER	PTR
2	LMA	Energy	TER	JAC	PJS
3	LMA	FX	SON	PTJ	PEJ
4	SMA	Precious Metals	JKS	PRJ	PJA