

Assessment Form: AFSSIN/FRI/POST
(This is a Classified and Confidential document)

NOTE: By you agreeing to complete, submit and send to us this Form, you voluntarily consented to allow and permit us ("AFSSIN") to use the information and data provided by you for Regulatory Investigation (FRI) Assessment use. Thus, the knowledge and right to use your data is within the provisions of the Singapore Personal Data Protection Act 2012.

Complete this Form **ONLY** if you are in the process of responding to a Financial Regulatory Authority (FRA) Notice, Order, Subpoena or Summon the violation you have violated. Write or type, sign, company stamp and date it and then send or email it to AFSSIN.

QUESTIONNAIRES

1. Company Name: _____
2. Address: _____

(Post Code: _____)
3. Office Phone: _____ Website: _____
- 4.1. Organisation Type: *Private/Public Company 4.2. Incorporation Date: _____
5. Business Activities: _____
- 6.1. Date Listing Sought: _____ 6.2. Trading Symbol: _____
- 6.3. Securities Exchange Name: _____
- 7.1. Do you have an In-House Legal Counsel?: *Yes/No
- 7.2. If your answer for item 7.1 is "YES", provide name and contact number:
(a) Name: _____ (b) Phone: _____
- 8.1. Do you have an External Attorney/Solicitor?: *Yes/No
- 8.2. If your answer for item 8.1 is "YES", provide name and contact number:
(a) Law Firm Name: _____
(b) Solicitor Name: _____
(c) Phone: _____ (d) Email: _____
9. Date of the *Notice/Order/Subpoena/Summon from Financial Regulatory Authority:
(a) First *Notice/Order/Subpoena/Summon: _____
(b) Second *Notice/Order/Subpoena/Summon: _____
(c) Third *Notice/Order/Subpoena/Summon: _____
10. Can you attach a copy of each of the *Notice/Order/Subpoena/Summon to AFSSIN?: *Yes/No
11. State the Section of the Act/RULE or describe briefly the violation FRA quoted:

12. Describe briefly the actions you have taken till to-date (*attach separate sheet if insufficient space*):

13. List the advice provided to you by your In-House Legal Counsel (*attach separate sheet if insufficient space*):

14. List the defence strategy provided to you by your External Litigation Lawyer (*attach separate sheet if insufficient space*):

15. What is your positioning at time of completing this Form?

- (a) Just starting to organise to collect documents
- (b) Already in the hands of our In-House Legal Counsel
- (c) Going to consult External Litigation Lawyer for advice
- (d) Documents organised and under review by our In-House Legal Counsel
- (e) Documents organised, seeking or waiting for External Litigation Lawyer advice
- (f) Response already submitted to FRA

<u>Put a "X" whichever applicable</u>

16. Do you agree with the violation stated by the FRA?: *Yes/No

17. What you want AFSSIN to do?

- (a) Assist in the review of documents
- (b) Participate in this assignment as our In-House Legal Counsel
- (c) Assist our In-House Legal Counsel and/or External Litigation Lawyer

Signed by: _____ (full name) _____ (position held) _____ (company stamp and date)

*delete whichever not applicable