

SECURITIES AND FUTURES ACT
(CHAPTER 289, SECTION 341)

SECURITIES AND FUTURES (APPEALS UNDER PARTS II, IIA,
III, IIIA AND VIAA OF ACT) REGULATIONS

ARRANGEMENT OF REGULATIONS

Regulation

1. Citation
 2. Definitions
 3. Procedure for appeals to Minister
 4. Withdrawal of appeal
The Schedule
-

[1st July 2002]

Citation

1. These Regulations may be cited as the Securities and Futures (Appeals under Parts II, IIA, III, IIIA and VIAA of Act) Regulations.

[S 629/2018 wef 08/10/2018]

Definitions

2. In these Regulations, unless the context otherwise requires —

“appellant” means any person who wishes to appeal under Part II, IIA, III, IIIA or VIAA of the Act to the Minister;

[S 629/2018 wef 08/10/2018]

“decision” includes any action by or direction of the Authority appealed against;

“Secretary” means a secretary of the Appeal Advisory Panel appointed under regulation 3(1) of the Securities and Futures (Appeals) Regulations (Rg 5).

Procedure for appeals to Minister

3.—(1) An appellant may appeal to the Minister by lodging with a Secretary —

- (a) within the period stipulated in the relevant provision of the Act, a notice of appeal containing a brief description of the decision appealed against, in Form 1 in the Schedule; and
- (b) within 21 days from the date on which such notice of appeal was lodged, a petition of appeal containing particulars of the decision appealed against, the issues arising in the appeal and the reasons for the appeal, in Form 2 in the Schedule.
- (2) The Minister may, in his discretion and subject to such conditions as he may impose, accept a notice of appeal or petition of appeal lodged by the appellant after the expiration of the period specified in paragraph (1)(a) or (b), if the Minister is satisfied that the appellant was unable to lodge the notice of appeal or petition of appeal, as the case may be, within that specified period due to the appellant's absence from Singapore, illness or any other reason where the Minister is satisfied that there has not been any unreasonable delay on the part of the appellant.
- (3) A Secretary who receives a notice of appeal or petition of appeal shall immediately forward such document to the Minister and a copy of such document to the Authority.
- (4) The Authority may, on receipt of any document referred to in paragraph (3), provide its reasons for the decision being appealed against to the Minister.

Withdrawal of appeal

4. The appellant may at any time, before the Minister confirms, varies or reverses the decision of the Authority on appeal, withdraw his appeal by serving on a Secretary a written notice to that effect.

THE SCHEDULE

Regulation 3(1)(a)

Form 1

SECURITIES AND FUTURES ACT
(CHAPTER 289)

THE SCHEDULE — *continued*

SECURITIES AND FUTURES
(APPEALS UNDER PARTS II, IIA, III, IIIA AND VIAA OF ACT)
REGULATIONS

NOTICE OF APPEAL

Date of Service of Notice on Secretary:

Name of Appellant:

NRIC No./Company Registration No.*:

Addresses:

Telephone Numbers:

This appeal is made under section _____ of the Securities and Futures Act.

The appeal is against the Authority's decision of:

(state date and brief description of decision appealed against)

Signature of Appellant/

Advocate and Solicitor* acting

for the Appellant

*Delete where inapplicable.

[S 629/2018 wef 08/10/2018]

Form 2

Regulation 3(1)(b)

SECURITIES AND FUTURES ACT
(CHAPTER 289)

THE SCHEDULE — *continued*

SECURITIES AND FUTURES
(APPEALS UNDER PARTS II, IIA, III, IIIA AND VIAA OF ACT)
REGULATIONS

PETITION OF APPEAL

Date of Service of Petition on Secretary:

Name of Appellant:

NRIC No./Company Registration No.*:

Addresses:

Telephone Numbers:

This appeal is made under section _____ of the Securities and Futures Act.

The appeal is against the Authority's decision of:

*(state date and brief description of decision appealed against, and any further
circumstances out of which the appeal arises)*

The issue/issues* arising in the appeal:

(state the issues)

The reason/reasons* for the appeal:

*(state the substance of the decision appealed against and particulars of the
grounds of appeal)*

Signature of Appellant/

Advocate and Solicitor* acting

for the Appellant

* Delete where inapplicable

[S 629/2018 wef 08/10/2018]

LEGISLATIVE HISTORY
SECURITIES AND FUTURES (APPEALS UNDER PARTS II, IIA,
III, IIIA AND VIAA OF ACT) REGULATIONS
(CHAPTER 289, RG 6)

This Legislative History is provided for the convenience of users of the Securities and Futures (Appeals under Parts II and III of Act) Regulations. It is not part of these Regulations.

1. G. N. No. S 301/2002 — Securities and Futures (Appeals under Parts II and III of Act) Regulations 2002

Date of commencement : 1 July 2002

2. 2004 Revised Edition — Securities and Futures (Appeals under Parts II and III of Act) Regulations

Date of operation : 29 February 2004

3. G.N. No. S 629/2018 — Securities and Futures (Appeals under Parts II and III of Act) (Amendment) Regulations 2018

Date of commencement : 8 October 2018