ATTACHMENT

TABLE OF COMMENTS

COMMENTS TO ISSUES RAISED IN CONSULTATION PAPER NO. 3/2021

PROPOSED AMENDMENTS TO THE MAIN MARKET LISTING REQUIREMENTS IN RELATION TO

ENHANCED ADVISER FRAMEWORK, SUBMISSION OF CORPORATE PROPOSALS AND OTHER AMENDMENTS

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| --- | --- | --- |
| NAME OF RESPONDENT | : |  |
| NAME OF COMPANY | : |  |
| CONTACT PERSON & CONTACT NUMBER | : |  |
| EMAIL ADDRESS | : |  |

| ISSUES | | COMMENTS |
| --- | --- | --- |
|  | Do you have any comment or further suggestion on the proposed enhanced roles and responsibilities of -   1. a Recognised Principal Adviser as set out in paragraph 10.2(c)(i) of the Consultation Paper; 2. its SO and QP as set out in paragraphs 10.2(c)(ii) to (iv) of the Consultation Paper?   Please state your comments or suggestions (if any). | Yes  No  *Comments and/or suggestions:*   |  | | --- | | Click or tap here to enter text. | |
|  | Do you agree that the ambit of Specific Proposals under the Main LR as set out in paragraph 10.2(b) of the Consultation Paper should also include a Major Disposal?  Please state the reasons for your views. | Agree  Disagree  No comment  *Reasons and/or suggestions:*   |  | | --- | | Click or tap here to enter text. | |
|  | Apart from the proposals as set out in paragraph 10.2(b) of the Consultation Paper, are there any other proposals which should be classified as a Specific Proposal under the Main LR?  Please provide your suggestions and the reasons for your suggestions. | Agree  Disagree  No comment  *Reasons and/or suggestions:*   |  | | --- | | Click or tap here to enter text. | |
|  | Do you agree with the proposals in paragraphs 10.3(b) and (c) of the Consultation Paper as follows:   1. proposal to remove the prescription on how due diligence is to be conducted for a corporate proposal involving new issue of securities; 2. proposal for a relevant party involved in a corporate proposal involving new issue of securities to make due and careful enquiries and comply with the equivalent obligations and standards imposed under the Submission Guidelines instead; and 3. proposal to require the Recognised Principal Adviser to be primarily responsible for a corporate proposal involving new issue of securities?   Please state the reasons for your views. | Agree  Disagree  No comment  *Reasons and/or suggestions:*   |  | | --- | | Click or tap here to enter text. | |
|  | Do you agree that an independent adviser for a Major Disposal and voluntary withdrawal of listing must be one who is permitted to submit proposals under the Take-Overs and Mergers Code as discussed in paragraph 11.1(b) of the Consultation Paper?  Please state the reasons for your views. | Agree  Disagree  No comment  *Reasons and/or suggestions:*   |  | | --- | | Click or tap here to enter text. | |
|  | Do you agree that an applicant’s directors must complete the Mandatory Accreditation Programme prior to listing?  Please state the reasons for your view. | Agree  Disagree  No comment  *Reasons:*   |  | | --- | | Click or tap here to enter text. | |

[End of Attachment]