Annexure C

1. In 2018, there were Disciplinary Proceedings under the Law Society against me for having allegedly acted for a client whilst I was in a position of conflict of interest, and/or allegedly for having preferred the interest of another party over the client, both of which were denied. The Disciplinary Tribunal dismissed the complaint against me.

2. In 2019, SGX imposed 5 Charges against all the directors (I am one of the directors) of a company listed on SGX for not having consulted with the SGX prior to the disposal of a subsidiary company and for not holding an EOGM for the disposal of a factory property. SGX proceeded with 4 Charges and the LDC found the independent directors guilty of 2 Charges and imposed a private reprimand (the executive director was given a public reprimand and a 2 years' prohibition from holding directorships in Singapore). It was also ruled that the matter was to be kept private and confidential in so far as the independent directors were concerned (ie any publication of the ruling will have the names of the company and the independent directors redacted/removed). SGX has since filed an appeal against the ruling, and similarly, the executive director has filed an appeal against the ruling on him.

3. In 2020, there were Disciplinary Proceedings under the Law Society against me for having acted for a client (who was the mistress/partner of the former client, and who bore 2 children to him) against the former client (now his Estate as he passed away) whilst I was aware of his confidential information during his lifetime (ie. his assets), and further, for not disclosing that I was acting for the client against the Estate to the administrators in a timely manner, who then allegedly provided me with further confidential information (as he was not divorced at the time of his death, the Estate/administration went to his wife and her sister and his ex-wife – requirement to have a minimum of 2 administrators as there are minority interests to the Estate). The Disciplinary Tribunal has found against me and referred the matter to the Court of 3 Judges. The hearing is scheduled for 14 May 2021.