

Appendix A

Singapore Exchange Limited (the "SGX-ST")

On 23 July 2008, the SGX-ST had written to Omega Capital Limited (the "**Omega Capital**") requiring Omega Capital to appoint an independent professional firm to conduct a review and recommend improvements to its internal processes, raise its due diligence standards and build up its expertise and resources. Following a review of Omega Capital, SGX-ST had concluded that Omega Capital had not fully met the standards expected of an issue manager and financial adviser. Mr David Tan Chao Hsiung ("**Mr Tan**") was the chief executive officer and substantial shareholder of Omega Capital.

Omega Capital duly complied with SGX-ST directive in appointing an independent professional firm and implemented the recommendations made by the professional firm.

Neither Mr Tan nor any representative of Omega Capital was called for any interview or to provide any statement to any regulatory authority in respect of the matters regarding Omega Capital.

Monetary Authority of Singapore (the "MAS")

CMS Licence renewal: Omega Capital's Capital Markets Service licence (the "**CMS Licence**"), which was issued by the MAS, was due for renewal in March 2009.

Omega Capital, on its own accord, did not seek a renewal of its CMS Licence.

Supervisory warnings:

1. On 21 August 2009, Omega Capital was given a written warning by the MAS for contravention of Section 96(1) of the Securities Future Act ("**SFA**"). This was related to the appointment of a director onto the board of directors of Omega Capital without prior approval of the MAS. No penalty was imposed against Omega Capital or its directors.
2. On 21 August 2009, Mr Tan was given a warning by the MAS for not promptly informing them on the disposal of his interest in a private company and the resignation of his directorship in that company. No penalty was imposed on Mr Tan.
3. On 12 February 2007, one of Omega Capital's directors was given a supervisory warning for contravention of Section 84(1)(b) of the SFA as Omega Capital has submitted its licence renewal application less than one month before the expiry. No penalty was imposed on the director concerned or Omega Capital or its directors.
4. On 8 November 2004, Omega Capital was given a written warning for non-compliance with Regulation 5 of the Securities & Futures (Licensing & Conduct of Business) Regulations on its failure to notify the MAS on changes to a representative's particulars. This was related to Mr Tan's resignation as an independent director in a listed company. No penalty was imposed against Omega Capital or Mr Tan.
5. On 18 October 2004, Omega Capital was given a written warning on the non-compliance with licence condition and the Securities and Futures (Financial & Margin Requirements for Holders of Capital Markets Services Licences) Regulations 2002 on the following issues:
 - (i) Failure to promptly notify MAS of effective date of the change to shareholdings of one of the directors even if the change does not require prior approval from the MAS;
 - (ii) Failure to comply with regulation 27 of the SFA – late lodgement of statement of assets and liabilities in Form 1 and statement of financial resources and total risk requirement in Form 5; and
 - (iii) Failure to promptly notify MAS of the resignation of one of the directors. No penalty was imposed against Omega Capital or its directors.

Appendix B

Abstract from Mun Siong Engineering Limited announcement dated 6 April 2021

"Mun Siong Engineering Limited (the "**Company**") would like to announce that the Ministry of Manpower (the "MOM"), letter dated 5 April 2021, has debarred the Company from applying for new work passes until 29 December 2021. Besides the debarring, the MOM letter dated 18 March 2021, has also made an Administrative Financial Penalty against the Company of \$15,000.

The MOM has found that the Company had breached Section 25(3) of the Employment of Foreign Manpower Act (Chapter 91A). One of its former employee made an inherent oversight in its submission to the MOM for the transferred of 6 work pass workers from their original employer. The said former employee relied on verbal representations, instead of seeking documentary proof, from each of the 6 said work pass workers. An investigation from MOM was conducted on 17 December 2020 with our Human Resource manager. On 18 March 2021, the Company received a letter from MOM informing the Company about the breach and imposed an Administrative Financial Penalty of \$15,000 in which the Company had paid for it.

In response to the MOM letter dated 18 March 2021, the Company through its letter dated 25 March 2021, based on its own investigations, has disclosed that the said former employee exercised discretion on this matter without consulting management or immediate superior. Nevertheless, the management has acknowledged that it is an oversight on the Company's part."

Abstract from Mun Siong Engineering Limited announcement dated 22 April 2021

"The Company wishes to announce that on 13 April 2021, it has received a response from the Ministry of Manpower ("MOM") with respect to its appeal on the debarment. MOM, after reviewing the appeal, have reduced the debarred period from 12 months to 6 months, without any conditions imposed. The debarment will be lifted on 30 June 2021 after which the Company will be permitted to submit applications for the employment of new foreign workers, subject to the existing work pass criteria. The Company will be working with its internal auditors to review the work processes in the Human Resource department. The internal auditors will be tasked to make recommendations, where appropriate, to the Board of Directors. The Company is carrying out this review on its own accord."

None of the directors of Mun Siong Engineering Limited was fined or received a letter of warning.