

Appendix A

1. Ms Ng was a Registered Professional involved in continuing activities undertaken by the continuing sponsor of a Catalist-listed company (the "ListCo"). Ms Ng received enquiries from the Singapore Exchange Regulation Pte. Ltd. ("SGX RegCo") in relation to the obligations of a registered professional under the Catalist Rules. This arose from the disbursement of funds by the Listco during certain time periods for which no queries or discussions were raised on making immediate disclosure for the said disbursements. This matter concluded in April 2023 with a private warning from the SGX RegCo to Ms Ng.
2. Ms Ng received enquiries from the Attorney General's Chambers in July 2024 in relation to an application made in 2020 for her practicing certificate. On 3 April 2020, Ms Ng had submitted her annual application for a practice certificate ("PC Application") but the PC Application was rejected ("Rejection") for the following administrative and clerical reasons: (a) the PC Application should have stated her title as "Director" instead of "Partner", and (b) due to clerical errors in the dates of the accountant reports submitted for the PC Application, (collectively, the "Reasons for Rejection"). The Rejection and Reasons for Rejection were uploaded in the eLitigation web portal on 6 April 2020. However, Ms Ng only became aware of the Rejection on 13 May 2020 as the Rejection was uploaded onto the eLitigation web portal and was not looked at, as the PC Application was a standard procedural matter carried out annually and it had occurred during the Covid-19 circuit breaker lockdown and transitional period. Upon becoming aware of the Rejection on 13 May 2020, Ms. Ng took immediate steps on the same day to rectify the Reasons for Rejection, which were purely clerical and administrative in nature. Ms. Ng's PC Application was then approved the next day on 14 May 2020. In connection with this, Ms. Ng was issued a warning by the Attorney General's Chambers in September 2024 to refrain from such conduct under Section 33(1) of the Legal Profession Act.