

**SECURITIES AND FUTURES ACT
(Cap. 289)**

**FINANCIAL ADVISERS ACT
(Cap. 110)**

FORM

XX

NOTIFICATION FOR ARRANGEMENTS WITH FOREIGN RELATED CORPORATIONS UNDER THE SECURITIES AND FUTURES (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS AND/OR FINANCIAL ADVISERS (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN RELATED CORPORATIONS) REGULATIONS

NOTIFICATION FOR ARRANGEMENTS WITH FOREIGN OFFICES UNDER THE SECURITIES AND FUTURES (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS AND/OR FINANCIAL ADVISERS (EXEMPTION FROM REQUIREMENTS) (CROSS-BORDER ARRANGEMENTS) (FOREIGN OFFICES) REGULATIONS

<p>Name of Company as <u>previously</u> submitted to the Authority, or as per ACRA's records if no previous submission has been made</p>	<p><i>[Free Text]</i></p>
<p>Company Registration Number (UEN)</p>	<p><i>[Free Text]</i></p>

Notification of Arrangements under:

- Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
- Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations; or
- Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations.

SECTION 1: INFORMATION ON THE SINGAPORE ENTITY

1.1 The Singapore Entity is:

- licensed under section 82(1) of the Securities and Futures Act (SFA), excluding persons licensed to conduct the regulated activity of fund management solely in respect of the management of portfolios of specified products on behalf of venture capital funds as defined in the Securities and Futures (Licensing and Conduct of Business) Regulation (SF(LCB)R);
- licensed under section 6(1) of the Financial Advisers Act (FAA);
- exempted under section 99(1)(a), (b), (c) or (d) of the SFA;
- exempted under paragraphs 3(d)(1) and/or 3A(1)(d) of the Second Schedule to the SF(LCB)R; or
- exempted under section 23 (other than subsection (1)(ea) and (f)) of the FAA.

SECTION 2: ARRANGEMENT(S) BETWEEN THE SINGAPORE ENTITY AND FOREIGN RELATED CORPORATION(S) (FRC) OR FOREIGN OFFICE(S)

2.1 Provide information in Annex A on each cross-border arrangement. Click [here](#) to go to Annex A.

SECTION 3: SHAREHOLDING STRUCTURE (FOR ARRANGEMENT(S) WITH FRC ONLY)

3.1 Provide the group shareholding chart that shows the Singapore Entity and all the FRCs.

- Attached

Remarks (if any):

[Free Text]

SECTION 4: CONFLICTS OF INTEREST

4.1 The Singapore Entity has:

- assessed that there will be no conflict of interests that may arise from the arrangement(s). The Singapore Entity will also have in place measures to address potential conflicts of interests should they arise in the future.
- assessed that there will be conflict of interests that may arise from the arrangement(s) but will put in place measures to address them.

Explain the measures the Singapore Entity has or will have in place to mitigate the potential conflict of interests.

[Free Text]

SECTION 5: OTHER INFORMATION

5.1 Set out any additional information that is relevant or material to this notification. Where necessary, provide this additional information in an attachment.

- Attached

[Free Text]

SECTION 6: DECLARATIONS

The Declaration must be signed by a director of the Singapore Entity.

6.1 We declare that:

- The Singapore Entity has complied with and will adhere to the applicable conditions set out in:
 - (i) regulation 5 of the Securities and Futures (Exemption from Licensing Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
 - (ii) regulation 5 of the Financial Advisers (Exemption from Licensing Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
 - (iii) regulation 5 of the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
 - (iv) regulation 5 of the Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
 - (v) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations;
 - (vi) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Related Corporations) Regulations
 - (vii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Holders of a Capital Markets Services Licence and Specified Exempt Persons;
 - (viii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing Terrorism – Licensed Financial Advisers and Specified Exempt Persons;
 - (ix) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Securities and Futures (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations
 - (x) paragraph 5 of the Notice on Requirements in relation to Cross-Border Arrangements under the Financial Advisers (Exemption from Requirements) (Cross-Border Arrangements) (Foreign Offices) Regulations;
 - (xi) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing of Terrorism – Specified Holders of a Capital Markets Services Licence and Specified Exempt Persons (Foreign Offices); and
 - (xii) paragraph X of the Notice on Prevention of Money Laundering and Countering the Financing Terrorism – Licensed Financial Advisers and Specified Exempt Persons (Foreign Offices).

ANNEX A1

- We are fully aware that sections 329(3) and (4) of the SFA provide as follows:

“(3) ANY PERSON WHO -
 (a) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR
 (b) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY, SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.
(4) ANY PERSON WHO CONTRAVENES SUBSECTION (1) OR (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$50,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.”

- We are fully aware that sections 86(1), (3) and (4) of the FAA provide as follows:

“(1) ANY PERSON WHO FURNISHES THE AUTHORITY WITH ANY INFORMATION UNDER OR FOR THE PURPOSES OF ANY PROVISION OF THIS ACT SHALL USE DUE CARE TO ENSURE THAT THE INFORMATION IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.
(3) ANY PERSON WHO –
 (a) SIGNS ANY DOCUMENT LODGED WITH THE AUTHORITY; OR
 (b) LODGES WITH THE AUTHORITY ANY DOCUMENT BY ELECTRONIC MEANS USING ANY IDENTIFICATION OR IDENTIFYING CODE, PASSWORD OR OTHER AUTHENTICATION METHOD OR PROCEDURE ASSIGNED TO HIM BY THE AUTHORITY, SHALL USE DUE CARE TO ENSURE THAT THE DOCUMENT IS NOT FALSE OR MISLEADING IN ANY MATERIAL PARTICULAR.
(4) ANY PERSON WHO CONTRAVENES SUBSECTION (1) OR (3) SHALL BE GUILTY OF AN OFFENCE AND SHALL BE LIABLE ON CONVICTION TO A FINE NOT EXCEEDING \$25,000 OR TO IMPRISONMENT FOR A TERM NOT EXCEEDING 2 YEARS OR TO BOTH.”

- We declare that all information provided in this notification and in the attached annexes (if any) is true and correct.

Signature : _____

Name : [Free Text]

ANNEX A1

Designation : [Free Text]

Date : Click or tap to enter a date.

ANNEX A: INFORMATION ON THE ROLE OF SINGAPORE ENTITY AND FRC(S) OR FOREIGN OFFICE(S)

Complete a separate Annex A for each cross-border arrangement.

1. Provide information on the cross-border arrangement.

Name of Arrangement/ Business Unit Conducting the Arrangement	<i>[Free Text]</i>
Rationale for Arrangement	<i>Free Text]</i>
Date of Commencement of Arrangement	Click or tap to enter a date.

2. Provide information on each FRC or Foreign Office involved in the cross-border arrangement.

Name of FRC or Foreign Office	Country of Incorporation/ Registration	Nature of Business	Name of Regulatory Authority/ Exchange	Regulatory Status	Date of Status	Regulated Activities the FRC or Foreign Office will Conduct
<i>[Free Text]</i>	<i>[Drop-down list]</i>	<i>[Free Text]</i>	<i>[Drop-down list]</i>	<i>[Free Text]</i>	Click or tap to enter a date.	<i>[Drop-down list]</i>

3. Provide the following information on the process chain for each cross-border arrangement.
 - (i) Indicate whether each function is performed locally (i.e. by the Singapore Entity) or overseas (i.e. by the FRC or Foreign Office).
 - (ii) Elaborate on the role of the Singapore Entity and the FRC(s) or Foreign Office(s) at each stage of the process chain, to show that the Singapore Entity plays a substantive role in the proposed arrangement.

- Regulated activities of dealing in capital markets products, product financing and providing custodial services under the SFA

Dealing in capital markets products, product financing and providing custodial services under the SFA	
Functions	Where the function is performed
<ul style="list-style-type: none"> • Account Opening 	Performed by:

ANNEX A1

	<p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">• Order Placement	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">• Trade Execution	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">• Trade Confirmation	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">• Trade Settlement	<p><u>Performed by:</u></p>

ANNEX A1

	<p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">Marketing/ Client Servicing	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">Product Financing	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none">Custodial Services	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>

ANNEX A1

- Regulated activities of advising on corporate finance under the SFA

Advising on corporate finance under the SFA	
Functions	Where the function is performed
<ul style="list-style-type: none"> • Account Opening 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Signing of Mandate 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Mandate Execution 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Marketing/ Client Servicing 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p>

ANNEX A1

	<p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
--	--

- Regulated activities of fund management under SFA

Fund management under the SFA	
Functions	Where the function is performed
<ul style="list-style-type: none"> • Signing of Mandate 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Management of Funds 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Marketing/ Client Servicing 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>

ANNEX A1

<ul style="list-style-type: none"> • Custodial Services 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local (by Independent Custodian) <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>

- Financial advisory service of advising on investment products under the FAA

Financial advisory service of advising on investment products under the FAA	
Functions	Where the function is performed
<ul style="list-style-type: none"> • Prospecting 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Advisory 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>

ANNEX A1

- Financial advisory service of arranging of contracts of insurance in respect of life insurance under the FAA

Financial advisory service of arranging of contracts of insurance in respect of life insurance under the FAA	
Functions	Where the function is performed
<ul style="list-style-type: none"> • Completing Proposal Form 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Placing Orders with Insurance Company 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>
<ul style="list-style-type: none"> • Client Servicing 	<p><u>Performed by:</u></p> <p><input type="checkbox"/> Local <input type="checkbox"/> Foreign <input type="checkbox"/> Both Local and Foreign</p> <p><u>Elaborate on role of Singapore Entity and FRC or Foreign Office:</u></p> <p>Click or tap here to enter text.</p>